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ABSTRACT

This report provides an overview of the Department of Education's (ED) progress toward four main goals: (1) help all children reach challenging academic standards; (2) build a solid foundation for learning for all children; (3) ensure access to postsecondary education and lifelong learning; and (4) make ED a high-performance organization. The document provides a concrete description of strategies being used to reach these goals, presents plans for fiscal year 2001, describes key strategies and performance measures, and identifies department-wide issues. The report is divided into four sections, each of which describes in detail the programs that are in place to help the ED reach its goals. For goal 1, seven objectives are listed, such as creating safe, disciplined, and drug-free schools; and offering more public school choices to families. The four objectives listed for goal 2 include the objective that all children will enter school ready to learn. The four stated objectives for goal 3 all address the need to help students succeed in postsecondary education. Goal 4 has seven objectives listed, such as the one that states that ED employees are highly skilled and high performing. Further information on improving information systems, on coordinating with other agencies, on data-quality standards, and other details are provided. (RJM)

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# U.S. Department of Education
# Volume 1

# Department-wide Objectives

## 1999 Performance Reports and 2001 Plans

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EA 030356

March 2000

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U.S. Department of Education

Volume 1

# Department-wide Objectives

## 1999 Performance Reports and 2001 Plans

Office of the Under Secretary
Planning and Evaluation Service

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March 2000

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# The Department of Education's Mission

*To ensure equal access to education and to promote educational excellence throughout the Nation*

# Preface

The American people consistently rank education as a top national priority; they recognize that education is crucial to helping people reach their full potential, secure jobs, and become responsible, productive citizens. The role of education has expanded beyond providing all children with a challenging academic experience to teaching children to avoid illegal drugs and alcohol, preparing a skilled workforce for our growing technology sector, and offering safe and supervised before- and after-school enrichment programs for children. The U.S. Department of Education (ED) is continually striving to improve its education programs. Two key pieces of Federal legislation have been reauthorized—the Elementary and Secondary Education Act (ESEA) under the Improving America's Schools Act of 1994, and the National Education Research Act of 2000, which replaces the Educational Research, Development, Dissemination, and Improvement Act of 1994. Reauthorizing the ESEA allows the Department to continue its commitment to improve teaching and learning, primarily for economically disadvantaged students. The National Education Research Act of 2000 will allow ED to provide leadership in the conduct and support of scientific inquiry into educational processes and to provide an opportunity for improving education for students at risk of educational failure.

President Clinton's fiscal year 2001 budget request seeks to strengthen the Nation's ability to deal with these growing responsibilities. Built on previous successes, this budget would allow ED to continue to help states and communities move academic standards for all students into the classroom; create partnerships between schools, families, businesses, and community organizations; and greatly expand financial support for college students and their families. Initiatives and programs in fiscal year 2001 would help to renovate, modernize, and promote safe schools as well as reduce class size for all schools including high schools. Goals include providing professional development to superintendents, principals, prospective principals, and teachers, as well as ensuring that there are well-trained professionals for young children in preschool and daycare. Promoting healthy students, strengthening support for community services, implementing standards-based accountability, and further investigating ways to provide information on student achievement are additional goals. Still other programs would help to provide access to technical assistance, encourage entry into the teacher profession, and continue to make college more affordable.

ED has established four main goals:

- Help all children reach challenging academic standards so they are prepared for responsible citizenship, further learning, and productive employment.
- Build a solid foundation for learning for all children.
- Ensure access to postsecondary education and lifelong learning.
- Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction.

This report and its companion, *Volume II: Individual Programs,* is the Department of Education's 1999 Performance Report and 2001 Plan submitted under the requirements of Government Performance and Results Act (GPRA). It reflects ED's progress toward these four goals and provides a concrete description of the strategies it is employing to achieve them. These documents are both a report to Congress and the Nation and a guide to help ED continuously improve its performance.

## Facts about the Department of Education
## Fiscal Year 2000

- **Staffing.** The U.S. Department of Education is the smallest Federal department, with fewer than 5,000 staff members. Our full-time equivalent (FTE) staffing ceiling in fiscal year 2000 is 4,717.

- **Programs.** Approximately 174 programs are being administered in fiscal year 2000.

- **Federal Funding.** We will provide or oversee an estimated $84 billion in aid to education in fiscal year 2000. This figure includes program funding, new student loans, and Federal administration. It breaks down as follows:

  - ***Total appropriations for program activities:*** $42 billion. These funds are used for grants to state and local agencies, higher education institutions, and other entities; contracts; and subsidies for direct and guaranteed student loans.
  - ***New student loans:*** $41.5 billion. Postsecondary education student loans are made by ED, guaranteed by ED, and issued by banks and other financial institutions, or, under the Perkins loan program, issued by postsecondary educational institutions.
  - ***Federal administration:*** $1.1 billion for ED salaries and expenses total 2.5 percent of the fiscal year 2000 Department mandatory and discretionary appropriations for aid to education.
  - ***Total loans:*** ED is responsible for a portfolio of outstanding student loans that will total about $221 billion at the end of fiscal year 2000, one of the largest loan portfolios in the world.

- **Proportion of Federal Funding.** Funds from all Federal agencies represent a small but important proportion of K-12 education funding and postsecondary general institutional funding, but they provide or guarantee a large share of student financial aid. For fiscal year 2000, it is estimated that Federal education funds will represent
  - 9 percent of all education funding (public and private)
  - 6 percent of K-12 funding (public and private)
  - 12 percent of funding for postsecondary institutions (excluding student financial aid)
  - 75 percent of all student financial aid awarded to postsecondary students

# Introduction

The American public consistently rates education among its top national priorities. The public rightly expects the U.S. Department of Education (ED), in partnership with states, communities, institutions, and other Federal agencies, to carry out its responsibilities to effectively and efficiently support educational excellence and equity for all children. This two-volume plan and document is the first official report, under GPRA, on the agency's performance for the fiscal year 1999. It describes progress in meeting educational goals as outlined in our Strategic and Annual Plans; in addition, it presents our plans for fiscal year 2001. These documents also describe the key strategies and performance measures that we have chosen to meet the public's high expectations and fulfill our obligation to become a high-performance organization. The strategies were built from the Department's mission, *"To ensure equal access to education and to promote educational excellence throughout the Nation,"* and the performance measures were developed to assess progress in meeting our mission. The reports help to identify Department-wide issues and those in each program that need to be addressed. In our effort to improve the agency's performance, we have implemented the following new approaches:

## New Approaches to Performance Reporting

- **Making GPRA Real.** As part of the Department's efforts to make the Government Performance and Results Act (GPRA) tangible, several new approaches were devised to improve old systems.
  - Senior officers now are required to develop performance agreements with the deputy secretary, aligning their individual goals and objectives for their offices with the goals and objectives presented in the Strategic and Annual Plans.
  - The Department has included the introduction of the Strategic Plan as a part of the New Employee Orientation. This gives each person a chance to become aware of his or her office's role in achieving the agency's goals.
  - In the Office of the Under Secretary, Planning and Evaluation Service, a special team has been created to work with the Department's managers and staff to develop and provide guidance, training, and reports on strategic planning and related data systems.
- **Improving the Annual Plan/Report**. This year's plan has been altered to improve its quality and for readers and to meet the requirements set forth by the Government Performance and Results Act (GPRA). We have strengthened our emphasis on performance and targets, inserted more detailed information on the quality of data, and highlighted inter-agency and other coordination efforts.
- **Developing More Efficient and Effective Data Systems.** The Department is striving to address the challenges of data collection for program outcomes by examining the quality of data provided by existing systems and studying new approaches to developing a modern electronic program data system based on coordination with state education agencies.

These new approaches, combined with the performance information in both the Strategic Plan and the Annual Plan, will help the Department become more performance-driven.

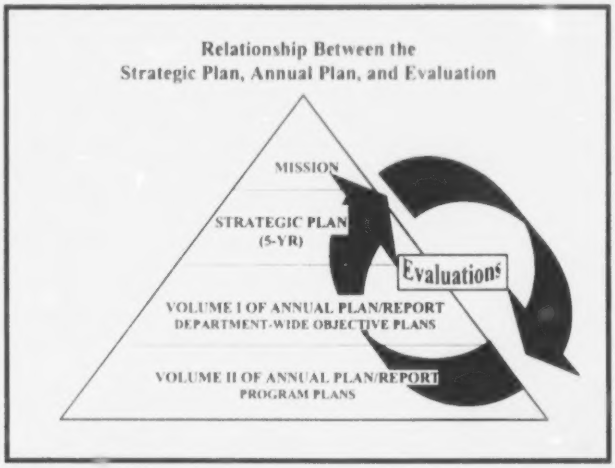
# How to Read the GPRA Reports

Assessing and planning for the Department of Education's performance includes four components:

- The Strategic Plan
- Volume 1 of the Annual Plan/Report: Agency-Wide Objectives
- Volume 2 of the Annual Plan/Report: Individual Program Plans
- Evaluations

The first three components constitute a report trilogy: the Strategic Plan and the Annual Plan, Volumes 1 and 2. The fourth component involves the ongoing use of evaluations in assessing program performance. All four components are coordinated by the Office of the Under Secretary, Planning and Evaluation Service. Exhibit 1, below, shows how these four components are continuously evaluated and used as planning and assessment tools for meeting the diverse needs of the public and Congress. The Strategic Plan emerged from the mission statement and is used by the leaders and managers in ED to guide longer-term strategies. From the Strategic Plan, the Planning and Evaluation Service developed a two-volume annual plan and report that assesses the agency's performance in more detail. Volume 1 describes overall Department-wide objectives and summarizes the strategies for and success in achieving each objective. Volume 2 presents the detailed program-by-program plans that are based on those objectives. These program indicators are developed and used by the programs to assess their progress. The evaluations of ED programs and activities support the entire planning process.

**Exhibit 1**


Relationship Between the
Strategic Plan, Annual Plan, and Evaluation
MISSION
STRATEGIC PLAN (5-YR)
Evaluations
VOLUME I OF ANNUAL PLAN/REPORT
DEPARTMENT-WIDE OBJECTIVE PLANS
VOLUME II OF ANNUAL PLAN/REPORT
PROGRAM PLANS

Each of these four areas—the Strategic Plan, Volumes 1 and 2 of the Annual Plan, and the Planning and Evaluation Service's evaluations—are discussed in greater detail below.

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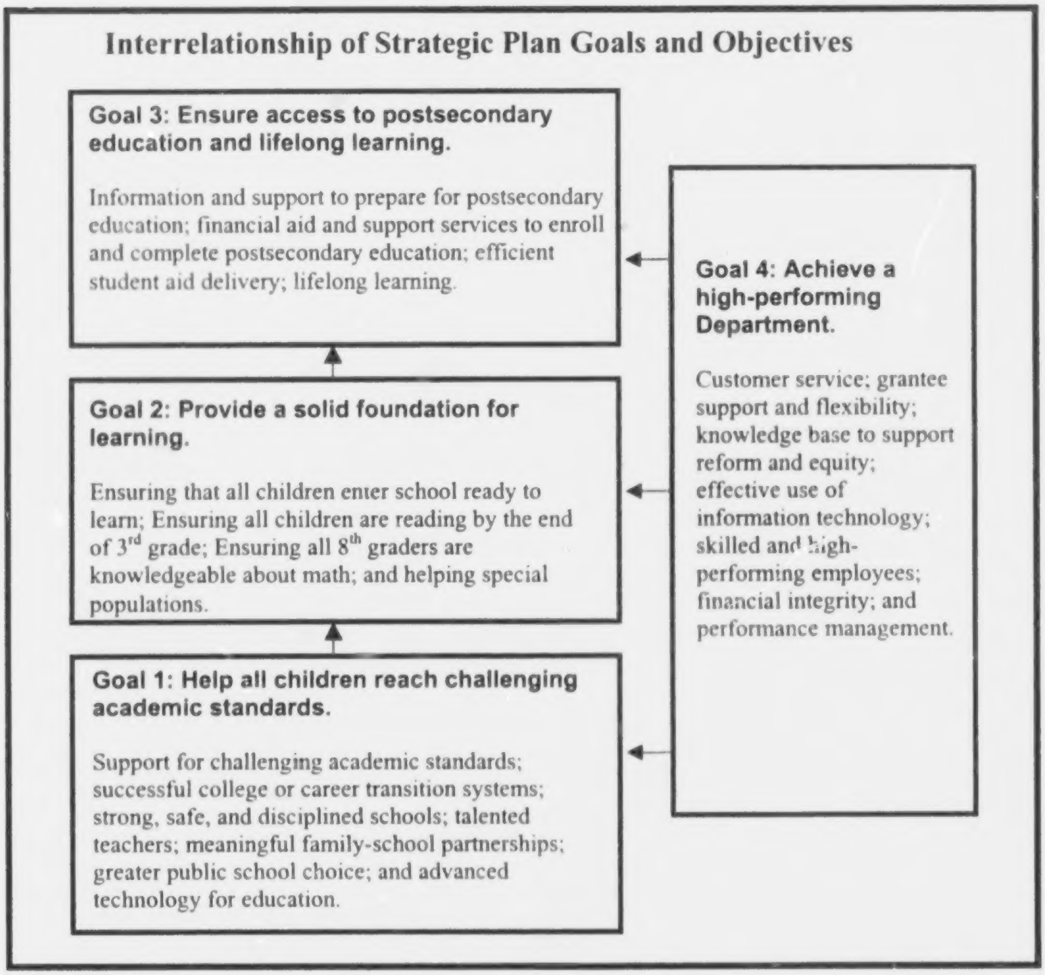
## The Strategic Plan

The Strategic Plan is a five-year plan that lays out the Department's long-term directions. It is structured around four major goals that support the agency's mission (see Exhibit 2):

1. *Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.*
2. *Build a solid foundation for learning for all children.*
3. *Ensure access to postsecondary education and lifelong learning.*
4. *Make ED a high-performance organization by focusing on results, quality service, and customer satisfaction.*

These are ambitious goals that reflect areas in which the Department can influence outcomes, even where the Department does not have direct control. Under each goal, the plan identifies objectives (see Exhibit 3), supported by core strategies and performance indicators. These objectives feed directly into Volume 1 of the Annual Plan and Report.

**Exhibit 2**



**Interrelationship of Strategic Plan Goals and Objectives**

**Goal 3: Ensure access to postsecondary education and lifelong learning.**

Information and support to prepare for postsecondary education; financial aid and support services to enroll and complete postsecondary education; efficient student aid delivery; lifelong learning.

**Goal 2: Provide a solid foundation for learning.**

Ensuring that all children enter school ready to learn; Ensuring all children are reading by the end of 3rd grade; Ensuring all 8th graders are knowledgeable about math; and helping special populations.

**Goal 1: Help all children reach challenging academic standards.**

Support for challenging academic standards; successful college or career transition systems; strong, safe, and disciplined schools; talented teachers; meaningful family-school partnerships; greater public school choice; and advanced technology for education.

**Goal 4: Achieve a high-performing Department.**

Customer service; grantee support and flexibility; knowledge base to support reform and equity; effective use of information technology; skilled and high-performing employees; financial integrity; and performance management.

**Exhibit 3**

## Framework of Strategic Plan Goals and Objectives

**U.S. Department of Education**

*Mission: To ensure equal access to education and to promote educational excellence throughout the Nation.*

| **Goal 1.** Help all children reach challenging academic standards, so that they are prepared for responsible citizenship, further learning, and productive employment. | **Goal 2.** Build a solid foundation for learning for all children. | **Goal 3.** Ensure access to postsecondary education and lifelong learning. | **Goal 4.** Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction. |
|---|---|---|---|
| **Objectives**<br>1.1 States develop challenging standards and assessments for all students in the core academic subjects.<br>1.2 Schools help all students make successful transitions to college and careers.<br>1.3 Schools are strong, safe, disciplined, and drug-free.<br>1.4 A talented and dedicated teacher is in every classroom in America.<br>1.5 Families and communities are fully involved with schools and school improvement efforts.<br>1.6 Greater public school choice will be available to students and families.<br>1.7 Schools use advanced technology for all students and teachers to improve education. | **Objectives**<br>2.1 All children enter school ready to learn.<br>2.2 Every child reads well and independently by the end of the third grade.<br>2.3 Every eighth-grader masters challenging mathematics, including the foundations of algebra and geometry.<br>2.4 Special populations participate in appropriate services and assessments consistent with high standards. | **Objectives**<br>3.1 Secondary school students get the information, skills, and support they need to prepare successfully for postsecondary education.<br>3.2 Postsecondary students receive the financial aid and support services they need to enroll in and complete a high-quality educational program.<br>3.3 Postsecondary student aid delivery and program management is efficient, financially sound, and customer-responsive.<br>3.4 All educationally disadvantaged adults can strengthen their literacy skills and improve their earning power over their lifetime through lifelong learning. | **Objectives**<br>4.1 Our customers receive fast, seamless service and dissemination of high-quality information and products.<br>4.2 Our partners have the support and flexibility they need without diminishing accountability for results.<br>4.3 An up-to-date knowledge base is available from education research to support education reform and equity.<br>4.4 Our information technology investments are sound and used to improve impact and efficiency.<br>4.5 The Department's employees are highly skilled and high-performing.<br>4.6 Management of our programs and services ensures financial integrity.<br>4.7 All levels of the agency are fully performance-driven. |

### The Annual Plan/Report

The Annual Plan and Report lays out the goals of the Department for the year to come. This year's plan lays out goals for 2001. It also gives a report on the past year's performance. This year we report on 1999 performance. The Annual Plan consists of two volumes:

**Volume I**. This volume is structured around 22 Department-wide education objectives. It gives information about the efforts put forth in each of the objective areas, the importance of each, and the challenges faced. The volume also communicates the role the Department has in meeting the national concerns in education as well as some of the collaborative efforts taking place.

**Volume II**. This volume looks at each of the Department's programs or program areas. It provides detailed information regarding the work being done in each of the programs, and on future directions. It gives specific information on collaboration efforts, proposed budgets, and the quality of data supplied in each program.

**Relationship Between the Annual Plan (Volumes I and II) and the Strategic Plan**. Volumes I and II are supporting documents for the Strategic Plan. The Strategic Plan is a five-year projection, while the Annual Plan/Report looks at the Department on a year-to-year basis. The Strategic Plan gives a broad view of the agency's performance, while the Annual Plan/Report contains performance indicators and strategies for achieving each objective. All three documents provide planning and reporting information on the agency's performance. The reports present themselves as a three-level tier. The top tier is the five-year Strategic Plan, with its four goals that directly support the Department's mission. The middle tier, Volume I, is structured around the 22 objectives that are in direct support of the four goals presented in the Strategic Plan. The bottom tier, Volume II, is organized according to the Department's programs, and each program's goal supports one or more of the 22 objectives presented in Volume I.

## Evaluation

The fourth component is evaluation. These are independent studies conducted periodically to assess the operation and effectiveness of programs. Evaluations provide a more complex and rigorous analysis of the impact of a program than can be obtained through routine reporting. Evaluations can also provide external benchmarks to validate regularly reported performance information and detailed descriptions of program operating and performance. They are designed to create a feedback process to improve the quality and use of program information. Evaluations work in conjunction with the other three components to aid in the decision-making process in the promotion of educational excellence.

# Key Features of This Year's GPRA Report

This year's GPRA Plan/Report incorporates numerous significant improvements over last year's. These improvements were made as a result of several influential factors, such as benchmarking to the private sector, studying performance reports from other agencies, addressing major criticisms from internal and external sources, complying with new regulations, and making overall improvements as a result of experience in the strategic planning process.

## How This Year's Plan/Report Differs From Last Year's Submission:

- **Reduces the number of indicators by one-fifth**. This year's submission tries to keep the focus on outcome indicators and quality intermediate indicators, while retaining many indicators for internal management purposes.
- **Places more emphasis on performance**. Volume I has been restructured to present the performance indicators and an assessment of our progress on those indicators in the beginning of each chapter. Volume II has also sharpened the focus on performance by designating a column to illustrate performance data and a column to discuss the progress made by the specific program.
- **Provides more detailed information on the quality of data**. Data presented in both Volume I and II of the plan are accompanied by a new section entitled "Validation Procedure." This information helps in judging the rigor and reliability of the data.
- **Provides more information on coordination**. In each program plan discussed in Volume II, a new section describes how that particular program coordinates with other Federal activities. In Volume I, the coordination section in each objective plan chapter is more detailed, to give the reader a clearer idea of the collaboration.
- **Clarifies targets**. Both volumes seek to clearly present Departmental and program-level targets for 2001 and beyond.
- **Acknowledges indicator changes and adjustments**. Volume I contains a special section and a new appendix that clearly details any changes made to indicators since the fiscal year 1999 plan submission. Volume II also includes a section devoted to indicator changes in each program.

# End Outcomes for Goals 1 and 2

Congress appropriated approximately $42 billion in fiscal year 2000 for various program activities administered by the Department of Education. Expenditures for these program activities represented about 2 percent of the federal government's annual $1.8 trillion budget. Combining EDs expenditures with funding from all other federal agencies, the government contributes approximately 9 percent of total national expenditures on education; the remaining 91 percent comes from state, local, and private sources. More than half of the Department's budget supported elementary and secondary education. In addition to the many programs, the Department administers tax expenditures targeted for education benefits that also significantly support the objectives of the Department's Strategic Plan.

To measure the use of these resources, EDs Strategic Plan sets forth 7 performance indicators for elementary and secondary education. These indicators summarize the Nation's education progress across the wide variety of departmental programs and provide a picture of the state of U.S. elementary education as a whole.

Progress toward the 7 key outcome indicators is influenced by Federal programs and activities taking place under Goals 1 and 2 of the Strategic Plan:

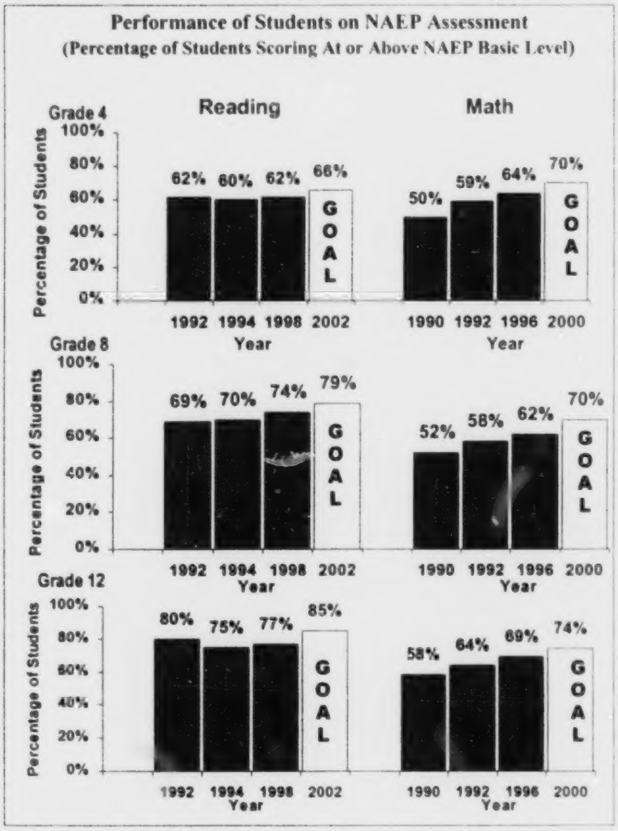
- Goal 1. Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.
- Goal 2. Build a solid foundation for the learning of all children.

The outcomes measured by these 7 indicators cannot be achieved by the Federal government al1 but constitute the shared responsibility of states, districts, schools, parents, communities, and society at large. The strategies described in Goals 1 and 2 show how we can work together with our non-federal partners to focus on results, minimize administrative burden, and use resources to the fullest to maximize student learning.

## Indicator A. Increasing percentages of all students will meet or exceed basic, proficient, and advanced performance levels in national and state assessments of reading, math, and other core subjects.

**Assessment of Progress.** No new data. 2000 data for math are due in 2001. The percentage of 4th and 12th grade students performing at or above the basic level in reading has been stable since 1992. The small decline at the 12$^{th}$ grade level is not statistically significant. Eighth graders' reading performance has improved. Math performance improved substantially for students in all 3 grades (4, 8, and 12) from 1990 to 1996.

Figure A.1



**Source:** National Assessment of Educational Progress (NAEP) and the National Center for Education Statistics. *Frequency:* Every 4 years, alternating math and reading. *Next Update:* Math 2000 data are due in 2001. **Validation procedure:** Data verified and validated by the National Center for Education Statistics and the National Assessment Governing Board. **Limitations of data and planned improvements:** Reading data for 1990 are omitted because they are not comparable with those of later years.

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## Indicator B. Students in high-poverty schools will show continuous improvement in achieving proficiency levels comparable to those for the Nation.

**Assessment of Progress.** No new data; 1999 data for reading and math are due in fall 2000.

Reading. While students in low-poverty schools improved their reading scores from 1988 to 1996, scores of students in high-poverty schools only began improving in 1992. From 1992 to 1996, scores of 9-year-olds in high-poverty schools rose by 8 scale score points, or close to a grade level of improvement.

Low-poverty schools are defined as those in which fewer than 25 percent of the students are eligible for free or reduced-price lunches. High-poverty schools are defined as those in which more than 75 percent of the students are eligible for free or reduced-price lunches.

Math. Improvement in mathematics has occurred most appreciably for students in high-poverty schools since 1992, rising by 9 points, or about 1 grade level.

Figure B.1

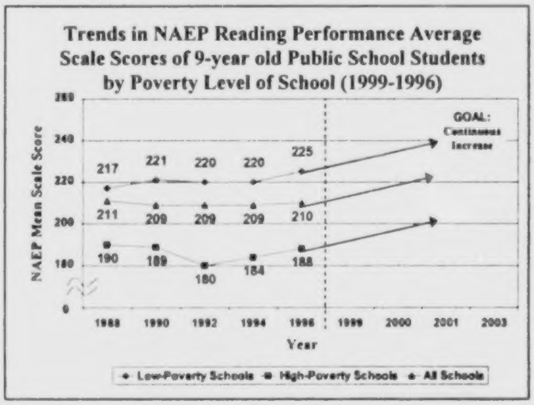
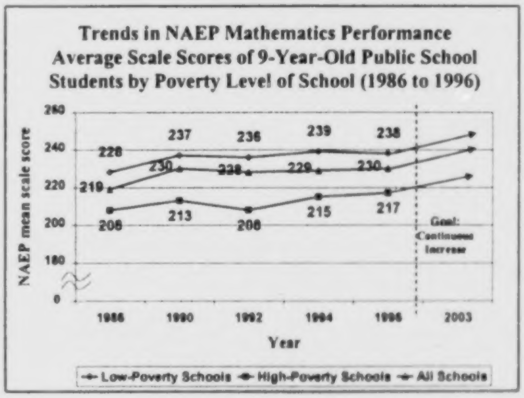


Figure B.2



**Note:** Low poverty schools are schools with 0-25% of students eligible for free or reduced price lunches, and high poverty schools are schools with 76 to 100% of students eligible for free or reduced price lunches.

**Source:** Special analyses of data from National Assessment of Educational Progress (NAEP) and the National Center for Education Statistics. *Frequency:* Biennial from 1988 to 1996, decreasing to once every 4 years by 2003. *Next Update:* 1999 data for reading and math are due in fall 2000. The next update for both reading and math data will be in 2003, with the data becoming available in fall 2004. **Validation procedure:** Based on special analyses of NAEP reading and mathematics trend data. NAEP is reviewed according to *NCES Statistical Standards*. **Limitations of data and planned improvements:** Data on the percentage of students eligible for free and reduced-price lunches are not available for some schools, and definitions vary somewhat across years.

## Indicator C. The proportion of high school graduates who complete at least 3 years of science and 3 years of math will increase 10 percent between 1994 and 1998.

**Assessment of Progress.** No new data; 1998 data are due in summer 2000. In 1994, 60 percent of all high school graduates had completed 3 years of mathematics and 3 years of science. In addition to the number of years of coursework, the level of difficulty of the courses students complete is also important. The percentage of students completing various courses in mathematics and science increased from 1990 to 1994 for all courses offered, including more challenging courses such as calculus and physics.

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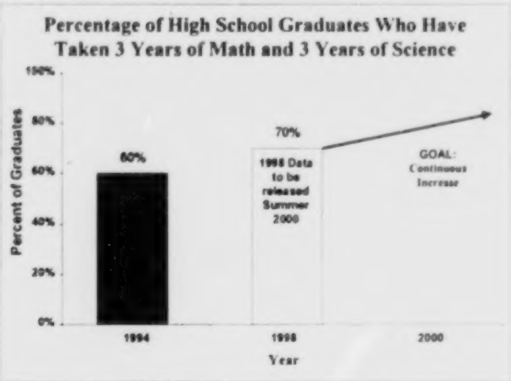
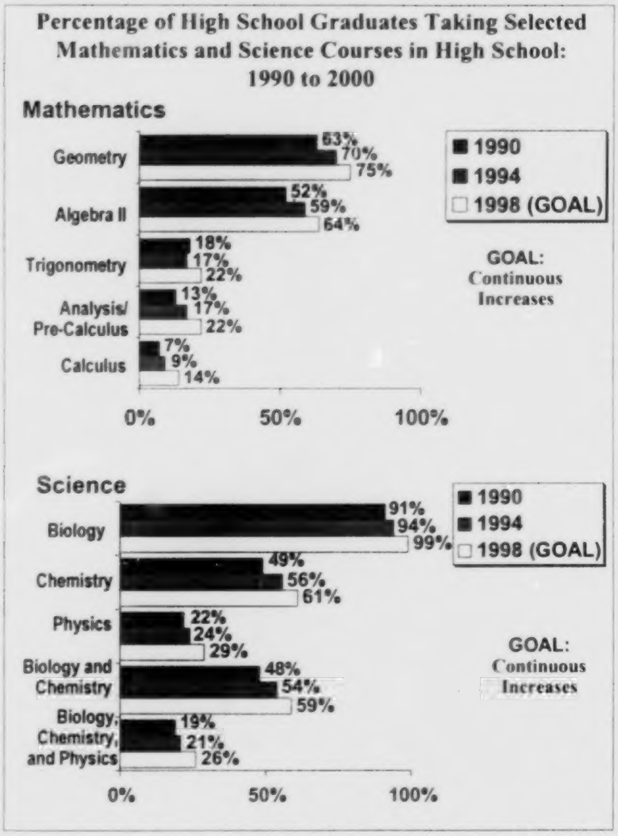
Figure C.1


Percentage of High School Graduates Who Have Taken 3 Years of Math and 3 Years of Science

**Source:** Based on 1994 High School Transcript Study and other surveys, National Center for Education Statistics (NCES). *Frequency:* These data are available only once every 4 years, and the 1998 data are due in summer 2000. *Next Update:* 1998 data are due in summer 2000. **Validation procedure:** Special tabulations produced for and reviewed by the National Center for Education Statistics, according to the *NCES Statistical Standards*. **Limitations of data and planned improvements:** These data are collected only once every 4 years; 1998 data will be available in Summer 2000.

Figure C.2


Percentage of High School Graduates Taking Selected Mathematics and Science Courses in High School: 1990 to 2000

## Indicator D. Increasing numbers of high school students will successfully complete Advanced Placement Program courses each year.

**Assessment of Progress.** Since 1990, an increasing proportion of 11th and 12th grade students have been taking Advanced Placement (AP) Program courses, and an increasing number have passed at the level necessary to receive postsecondary credit. In 1999, 165 AP tests were administered per 1,000 students, and 105 of those tests resulted in postsecondary credit. This trend toward increased AP course-taking began in 1984 and has occurred among both sexes and all racial/ethnic groups.

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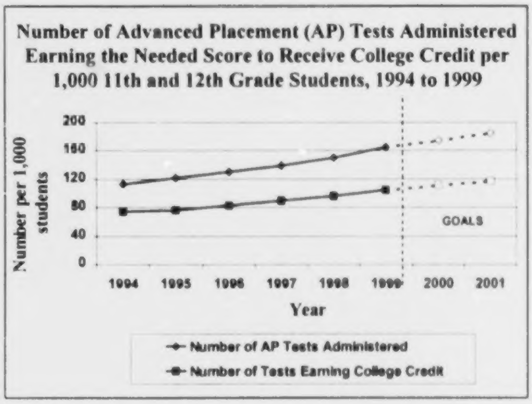
Figure D.1


Number of Advanced Placement (AP) Tests Administered Earning the Needed Score to Receive College Credit per 1,000 11th and 12th Grade Students, 1994 to 1999

**Source:** Based on special analyses of data from the College Board AP Program, prepared for and reviewed by the National Center for Education Statistics. *Frequency*: Annual. *Next update*: 2000 data due in 2001. **Validation procedure:** Special analyses prepared for and reviewed by the National Center for Education Statistics according to *NCES Statistical Standards*. Data supplied by the College Board. **Limitations of data and planned improvements:** Because AP candidates often take more than 1 examination, there is not a 1-to-1 ratio between the number of examinations taken and the number of students.

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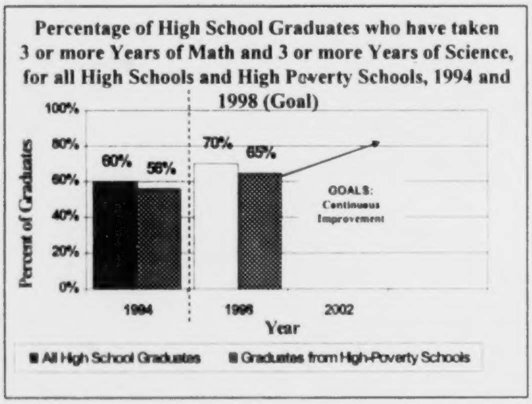
## Indicator E. Students in high-poverty schools will complete comparable amounts of challenging coursework – including Advanced Placement courses – which will enable them to pursue higher education or other options.

**Assessment of Progress.** No new data; unable to judge as the 1998 data will be available in summer 2000. As preparation for postsecondary study, students are encouraged to complete 3 years of mathematics and 3 years of science. In 1994, there was only a small gap between the percentage of all graduates and the percentage of graduates of high-poverty schools who had taken this coursework.

While the number of years of mathematics is important, the rigor of the coursework is also important (see Indicator C.2 in this series). Research shows that schools with a large proportion of high-poverty students are less likely to offer advanced courses than schools in which students come from affluent families.

Figure E.1


Percentage of High School Graduates who have taken 3 or more Years of Math and 3 or more Years of Science, for all High Schools and High Poverty Schools, 1994 and 1998 (Goal)

**Source:** Based on special analyses of data from the NAEP Transcript Study, prepared for the National Center for Education Statistics. *Frequency*: Every 4 years. *Next Update*: 1998 data due in summer 2000. **Validation procedure:** Special analyses prepared for the National Center for Education Statistics and reviewed according to *NCES Statistical Standards*. **Limitations of data and planned improvements:** Data collected only once every 4 to 6 years. Next data to be collected in 2000.

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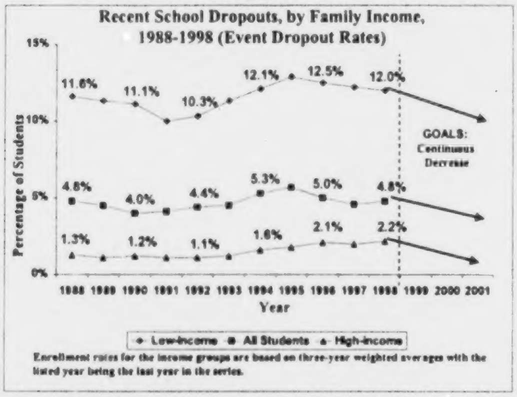
## Indicator F. High school attendance and graduation rates will continually improve—particularly in high-poverty schools and among students with disabilities and others at risk of school failure.

**Assessment of Progress.** No new data; the 1999 data will be released in fall 2000. Between 1990 and 1998, the percentage of students who dropped out of high school increased slightly for all students and for students from low-income families. There are many ways to calculate dropout rates. The rate used in this indicator is the event dropout rate, which is the most sensitive to year-to-year changes in the percentage of students who leave school before graduating. The event dropout rate is defined as the percentage of 15-to-24-year-olds who were enrolled in high school 1 year but had not completed high school and were not enrolled in grades 10–12 in October a year later.

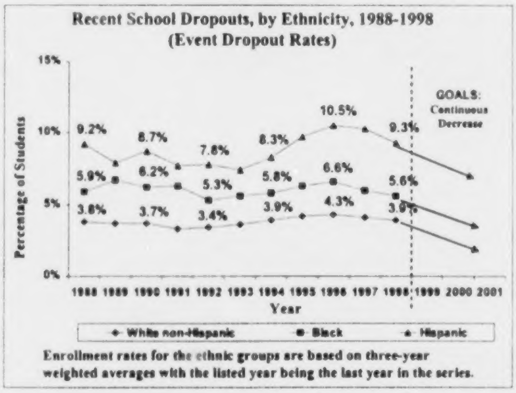
Figure F.1



**Recent School Dropouts, by Family Income, 1988-1998 (Event Dropout Rates)**

Enrollment rates for the income groups are based on three-year weighted averages with the listed year being the last year in the series.

Figure F.2



**Recent School Dropouts, by Ethnicity, 1988-1998 (Event Dropout Rates)**

Enrollment rates for the ethnic groups are based on three-year weighted averages with the listed year being the last year in the series.

**Source:** National Center for Education Statistics (NCES), Dropout Rates in the United States 1998, based on data from U.S. Department of Commerce, Bureau of the Census, Current Population Survey, October (various years). *Frequency:* Annual. *Next Update:* 1999 data due in fall 2000. **Validation procedure:** Data published by NCES and reviewed according to *NCES Statistical Standards*. Based on U.S. Department of Commerce, Bureau of the Census. **Limitations of data and planned improvements:** Dropout data for subgroups of students fluctuate considerably from year to year because of small sample sizes.

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## Indicator G. Increasing percentages of high school graduates will successfully transition into postsecondary education or employment.

**Assessment of Progress.** No new data; the 1999 data will be released in fall 2000. The percentage of graduates who are enrolled in postsecondary studies the October following graduation has risen steadily since the early 1990s. The percentage of graduates not in postsecondary studies who are employed has been fairly stable since the early 1990s.

Figure G.1

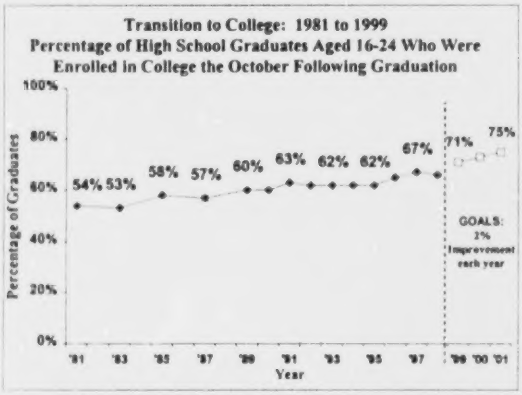
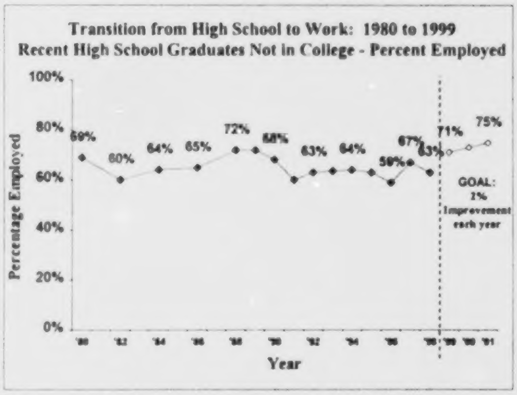


Figure G.2



**Source:** Based on special analyses of Census Bureau data and the October Current Population Surveys prepared for the National Center for Education Statistics. *Frequency:* Annual. *Next Update:* 1999 data due in 2000. **Validation procedures:** Data provided by the National Center for Education Statistics and reviewed according to *NCES Statistical Standards*. **Limitations of data and planned improvements:** None.

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# Goal 1. Help all children reach challenging academic standards, so that they are prepared for responsible citizenship, further learning, and productive employment.

A high-quality education system is essential for America's future prosperity. Today's students will, within a few years, participate in our political system and our economy. To prepare them to make productive contributions, the U.S. Department of Education (ED) will continue to assist state and local educators, decision makers, and families in reforming and revitalizing education at all levels.

So that all students will be prepared for responsible citizenship, further learning, and productive employment, the U.S. Department of Education will continue to focus on the areas that are central to improving and maintaining high standards of learning for everyone. ED is committed to pursuing strategies that help American schools provide students with equal opportunities to excel. This means ensuring that the following seven objectives are met:

**Objective 1.1: States develop challenging standards and assessments for all students in the core academic subjects.** All students must have the opportunity to attain educational excellence, which will only happen if schools are held accountable for helping students achieve.

**Objective 1.2: Schools help all students make successful transitions to college and careers**. By improving the connection between real work situations and the classroom, and by increasing access to further education and training, we can inspire students to strive for excellence, and we can ensure that they make a smooth transition to future careers.

**Objective 1.3: Schools are strong, safe, disciplined, and drug-free.** If students are to learn effectively, schools must provide safe and drug-free environments.

**Objective 1.4: A talented and dedicated teacher is in every classroom in America**. Teachers, who are well prepared and highly skilled, support, encourage, and inspire student excellence.

**Objective 1.5: Families and communities are fully involved with schools and school improvement efforts.** When families are involved in their children's education, learning improves. When families are involved in schools, schools improve. Family involvement is an essential part of ensuring educational excellence.

**Objective 1.6: Greater public school choice will be available to students and families.** Public school choice can help schools address the needs and interests of students and families, fostering improved learning.

**Objective 1.7: Schools use advanced technology for all students and teachers to improve education.** When used effectively, with appropriate training and other support, technology can significantly improve teaching and learning.

As part of the process of reauthorizing the Elementary and Secondary Education Act (ESEA), the Department is exploring ways to strengthen the legislation so that all students will meet high standards of learning; the capacity of schools and teachers to provide a high-quality education will increase; and accountability for educational results in states, districts, and schools will be supported. By pursuing key strategies in these areas—including financial support, technical assistance, dissemination of innovative approaches, coordination with state initiatives and the efforts of other Federal agencies, and research and evaluation—the U.S. Department of Education is fostering educational excellence and success for all students.

## Objective 1.1: States develop challenging standards and assessments for all students in the core academic subjects.

### National Need

**National Concerns.** As we begin the 21st century, educators in the United States are called on to meet the challenge of ensuring that *all* students in *every* school meet high expectations for achievement. Data show that some children are at great risk of being left behind in an economy driven by expanded information, increased knowledge, and higher skills. In some schools, and most often in high-poverty schools, student achievement and expectations are low. Gaps in student achievement between high- and low-poverty students and between minority students and their peers have persisted and in some cases widened in recent years.

American public education is rising to meet the challenge of higher expectations and achievement. Across the Nation, states and school districts are more focused than ever on helping students master challenging material by setting high standards for learning, holding schools and students accountable for performance, and providing schools and students with the assistance they need to improve.

Much progress has been made, but there is much work still to be done. Almost all states have standards in place, but independent reviews suggest that standards vary in rigor across the states. Setting high standards is just a first step. Making sure that all students reach high standards requires states to implement system-wide strategies to align curriculum, assessments, teacher training, and instruction with challenging standards. Accountability for student performance must be shared by: schools, teachers, students, and families. These systemic changes take time and will be a continuing challenge for public education.

**Our Role.** Meeting the goal of helping all children reach high standards is a cross-cutting objective in which every Federal education program has a role to play. In particular, the 1994 reauthorization of the Elementary and Secondary Education Act (ESEA), along with the creation of Goals 2000, has supported the development of challenging state standards and assessments, and brought Federal program support and accountability in line with state and local reform efforts. Title I of the ESEA is focused on ensuring that all students meet high standards, especially students who are at risk of educational failure in economically disadvantaged communities. Particularly through these key programs, the Department of Education (ED) is helping states, districts, and schools to develop challenging content and student performance standards and assessments; bring standards into the classroom; hold schools accountable for results; and assist states, districts, and schools in aligning all aspects of their educational systems with high standards of learning.

In addition, the Carl D. Perkins Vocational and Technical Education Act of 1998 (Perkins III) requires that states use their Federal vocational education funding to support the development of challenging academic standards. Perkins III provides grants to states to improve the academic performance of students through various strategies, including professional development and innovative instructional approaches. It also requires that students who participate in vocational education meet the same challenging academic standards as all students in the state.

Recent reports suggest that ED has played an important role in raising standards. A 1998 report by the General Accounting Office on the activities of Goals 2000 praised the program for its work in helping states and districts implement standards-based reform. The report noted, "Many state officials report that Goals 2000 has been a significant factor in promoting their education reform efforts and, in several cases, was a catalyst for some aspect of the state's reform movement. State and local officials said that Goals

2000 funding provided valuable assistance and that, without this funding, some reform efforts either would not have been accomplished or would not have been accomplished as quickly." In addition, a recent Department survey shows that almost half of district administrators report that Title I is a force behind bringing about standards-based reform in the district to a moderate or great extent, and 60 percent report that Title I is driving standards-based reform in the highest poverty schools in the district.

By the 2000-01 school year, the ESEA requires states to have their final standards and assessment systems in place. To prepare states for meeting this statutory requirement, ED has widely circulated guidance and held training workshops for states on the evidence that they will need to submit to the Department to verify that standards and assessments are implemented. ED supports the use of peer review teams, including researchers and state and local practitioners, to review evidence on state standards and assessment systems.

As states make progress in developing challenging content and student performance standards, ED will increasingly focus on helping states and districts monitor performance, building the capacity of schools and teachers to deliver high-quality curriculum and instruction, and providing students with the support they need to meet high standards for learning. Programs such as the Comprehensive School Reform Demonstration (CSRD) program, and the Reading Excellence Act (REA) programs support this focus. The Department's proposal for reauthorizing the ESEA would continue and strengthen the commitment to rigorous standards for all and accountability for results.

## Our Performance

**How We Measure.** The performance indicators for this objective focus on state progress in developing state content, student performance standards, and aligned assessments. The indicators include measures of the rigor of standards and assessment systems, as well as measures of the extent to which standards are moving from states to use by teachers in schools and classrooms.

By the 1997-98 school year, each state was to have adopted challenging content standards, in at least reading and math, that specify what all children are expected to know, as well as challenging performance standards that describe students' mastery of the content standards. States are to adopt or develop student assessment systems that are aligned with standards in at least reading/language arts and math. These final assessments, which states must implement by the 2000-01 school year, are to be administered at least once during grades 3-5; 6-9; and 10-12, and are to allow for reporting based on standards. The assessments are to include reasonable adaptations and accommodations for students with diverse learning needs, including students with limited English proficiency (LEP). The assessments must allow for disaggregation and reporting at the state, district, and school levels of students' results by gender, major racial/ethnic group, English proficiency status, migrant status, disability, and economic status. ED has developed detailed guidance for states and a peer review process for examining evidence on final state standards and assessment systems.

The initial challenge for states was to develop challenging content and student performance standards. The second challenge is to implement standards in the classroom. For this reason, this objective includes a measure of the extent to which standards actually move into the classroom. The indicator reflects a need to move to actual implementation of the standards—particularly for disadvantaged students in high-poverty schools where expectations for achievement are often low.

## Indicator 1.1.a. By the end of the 1997-98 school year, all states will have challenging content and student performance standards in place for 2 or more core subjects.

**Assessment of Progress**. Positive trends toward the targets for both content and performance standards. The goal for 1999 was for all states to have content standards in place. As of 1999, the Department of Education has approved the development process for content standards in 48 states, the District of Columbia, and Puerto Rico (see Figure 1.1.a.1). One additional state is still in the process of developing state content standards, and the other state has submitted evidence to the Department that is now under review. The goal for 1999 was to have the development process for state performance standards approved for 38 states. To date, 24 states and Puerto Rico have demonstrated to the Department that they have completed the development of both content and student performance standards (see Figure 1.1.a.2). Results on performance standards fall short of the target because many states are developing student performance standards along with their final assessment systems, which are not required to be in place until the 2000-01 school year. Rather than developing student performance standards as a template for assessments to come online later, many states are developing their assessment instruments and constructing performance standards from pilot tests of their new assessments. States will submit evidence that performance standards are in place as part of the peer review process for final state standards and assessment systems.

Figure 1.1.a.1

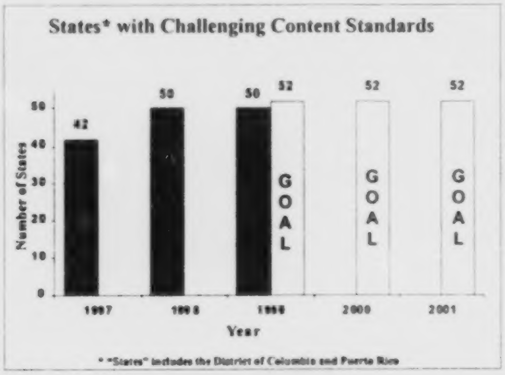
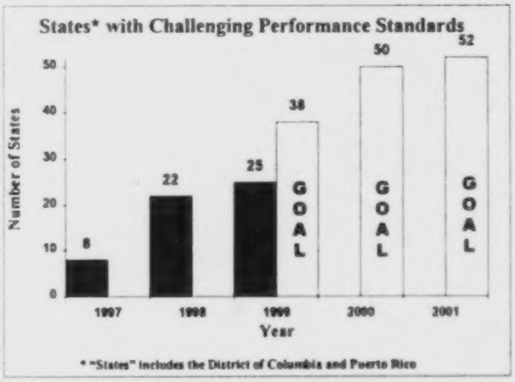


Figure 1.1.a.2



**Source:** Fig. 1.1.a.1 and 1.1.a.2. Consolidated State Plans, Department of Education review of evidence submitted by states to demonstrate their standards and assessment development process. *Frequency*: Annual. *Next Update*: 2000. **Validation procedure:** Data verified through ED peer review process. Although states are not required to submit their standards to the Department of Education for review, they must demonstrate that they have developed content and performance standards. Upon completing the development of standards, each state is required to submit evidence to the Department that standards are in place and that a rigorous process was used to adopt standards. This evidence is examined by teams of peer reviewers, including researchers and state and local practitioners, to assess whether states have met statutory requirements. The peer reviewers offer several ways for states to demonstrate that the content and performance standards were challenging, including conclusions from an independent peer review panel convened by the state to review its standards; a detailed description of the process the state used to develop its standards and review their rigor (for example, a process to benchmark state standards to nationally recognized standards, which includes input from experts and other stakeholders); or evidence that student performance on an aligned state assessment is comparable to student performance on the National Assessment of Educational Progress (NAEP). **Limitations of data and planned improvements:** States are expected to submit evidence that standards are in place; however, states are not required to submit their standards to ED. Therefore, the Department can only evaluate whether states used a rigorous process in developing and adopting standards, not the quality of the standards themselves.

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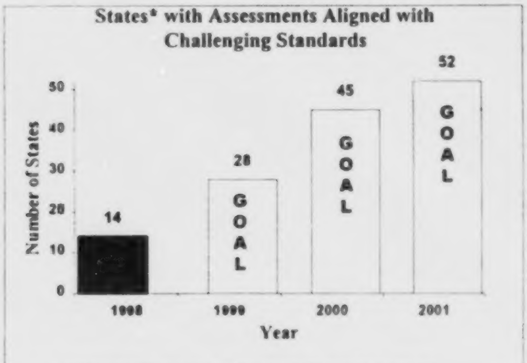
## Indicator 1.1.b. By 2001, all states will have assessments aligned to challenging content and performance standards for 2 or more core subjects.

**Assessment of Progress**. Target not met. States are not required by Title I to have final state assessments aligned with challenging standards in place until the 2000-01 school year. To date, no state has yet submitted evidence to the Department of Education that final assessments are complete and implemented. Final assessments must include all students, and states must be able to disaggregate performance by student groups.

The 1999 goal of 28 states having final assessments in place was based on an early review of state progress on implementing ESEA requirements. According to that review, in 1997-98, 14 states indicated that they had in place assessments aligned to state content standards (see Figure 1.1.b.1). However, to date, the Department has not formally approved any state final assessment system. This approval process will begin in 2000.

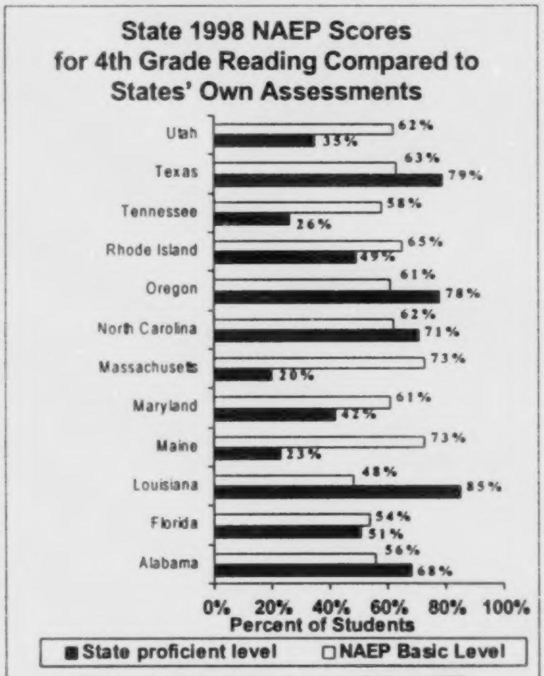
As an indicator of the rigor of state standards, Figure 1.1.b.2 compares student performance on state assessments with student performance on the state National Assessment of Educational Progress (NAEP) assessment. The results indicate that states' own performance measures may be more or less rigorous when compared with an independent assessment such as NAEP.

Figure 1.1.b.1



* "States" includes the District of Columbia and Puerto Rico

Figure 1.1.b.2



Percent of students scoring at or above Basic on NAEP and percent of students scoring at the proficient level or meeting state standards.

**Source:** Fig. 1.1.b.1. Schenck and Carlson, "Standards-Based Assessment and Accountability in American Education: A Report on States' Progress (draft)" 1998; Fig. 1.1.b.2. National Assessment of Educational Progress (NAEP), National Center for Education Statistics; Council of Chief State School Officers/U.S. Department of Education, State Education Indicators with a Focus on Title I 1999. *Frequency:* Fig. 1.1.b.1 ongoing beginning in 2000. *Next Update*: 2000. Fig. 1.1.b.2 annual for state assessments, NAEP biannual. *Next Update*: 2000 **Validation procedure:** Figure 1.1.b.1 includes an early estimate of states with assessments aligned with standards based on a review of consolidated state plans submitted to the Department of Education in 1996-98. These data were supplied by states several years before final assessments were required to be in place and no formal verification procedure applied. Data based on ED peer reviews of final state assessments will begin to be available in 2000. Figure 1.1.b.2 compares student achievement in reading on the 1998 National Assessment of Educational Progress (NAEP) with achievement on various state assessments collected by the Department of Education in collaboration with the Council of Chief State School Officers (CCSSO). The data were validated by NCES and CCSSO review procedures. **Limitations of data and planned improvements:** Figure 1.1.b.1: The 1998 estimate for aligned assessments and standards was based on self-reported and incomplete data during the transitional assessment period. The criteria used to make this estimate is not the same as what will now be required as part of the Department's peer review process for state standards and assessment systems—which will include more rigorous evidence of alignment (including inclusion policies and reporting) and technical quality. Beginning in 2000, the peer review of final standards and assessment systems will yield a more accurate report of states' status. Figure 1.1.b.2: N/A.

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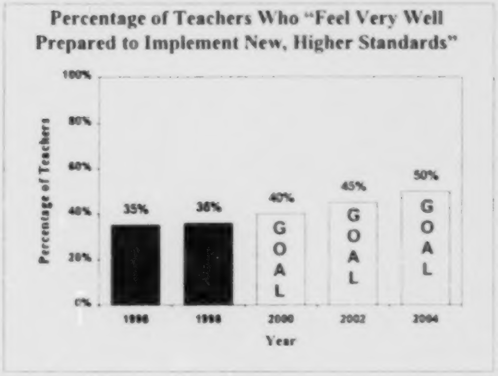
## Indicator 1.1.c. Increasing percentages of teachers will feel very well prepared to implement new higher standards.

**Assessment of Progress**. No significant change between 1996 and 1998. No 1999 data available because data are collected every 2 years. Related data released from the Longitudinal Evaluation of School Change (LESCP) in Title I schools demonstrate a challenge to achieving this target. In the 1998 LESCP, among a sample of 71 high-poverty schools receiving Title I finds, slightly less than half of teachers were "very familiar" with the content and performance standards of their state or district in mathematics and reading. No 2001 goal has been set because the next data collections will be in 2000 and 2002.

Figure 1.4.a.1



**Source:** Teacher Quality Fast Response Survey (FRS). *Frequency:* Every 2 years. *Next Update:* 2000. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** Indicator is based on teacher self-reported data. In addition, the exact question differed across the 2 years of data collection: in 1996, teachers reported how well prepared they were to implement "new, higher standards"; in 1998, teachers reported how well prepared they were to implement "state/district standards." In 2000, teachers will report how well prepared they are to implement "state/district standards." This indicator is intended to be a measure of teachers' readiness to implement standards. However, in some cases, it may inadvertently only measure whether a teacher is aware of the standards.

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## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of this Objective.** ED strategies are focused on helping states develop challenging standards, adopt aligned assessments, implement standards-based reform, and help students with special needs meet high standards. In 1999, the development of the ESEA reauthorization proposal, among other things, was a major strategy for the Department. Other strategies include supporting standards-based reform at the state and local level, overseeing compliance reviews of state standards, assessment, and accountability systems; producing and disseminating guidance and support materials on standards and assessments; providing technical assistance and consultants to states on standards and assessment issues; and developing policies to effectively move standards into the classroom through professional development and public awareness campaigns.

- **Challenging state content and student performance standards.** To ensure that states follow a rigorous process for continually upgrading and improving challenging content and performance standards, the Department has created a peer review process to examine the evidence submitted by states about the process they used to adopt challenging standards; providing technical assistance to states through peer consultants, comprehensive assistance centers, and regional labs; and raising public awareness of standards and assessment issues.

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- **Peer consultants.** The Department of Education is helping states develop performance standards by supporting teams of peer consultants to work with the states. The peer consultants convene Title I, assessment, and other state officials and experts to clarify issues, give technical assistance, and help develop a timeline for the implementation of standards.

- **Handbook and guidance.** ED has also published a handbook on performance standards developed by a collaboration of about 20 states—the State Collaborative on Assessments and Student Standards (SCASS)—that are working together through the Council of Chief State School Officers on standards and assessment issues. The handbook has been broadly disseminated and is being used as a guide for several workshops the Department is holding for states facing challenges in putting performance standards in place.

- **Assessments aligned with high standards.** Using Title I and Goals 2000 grants, ED helps states meet the statutory requirements that they have assessment systems in place to measure student performance against state standards for at least reading and mathematics by 2000-01. ED has published detailed guidance and technical handbooks on standards and assessment requirements under ESEA Title I. To help disseminate this information, ED will continue to conduct regional training sessions for states. These sessions have included national experts and leading state practitioners and focus on issues such as how to develop standards, how to align assessments with those standards, how to report and disaggregate data, and how to ensure that all students are included. Goals 2000 has sponsored peer consultant visits by leading practitioners in standards and assessments to states that requested assistance with their standards and assessment development process. Integrated review teams will continue to focus on the implementation of aligned assessment systems during their visits to states.

- **Help students with special needs meet high standards.** ED is helping states make assessments inclusive of students with limited English proficiency (LEP) and students with disabilities. This ensures that states include these students in their accountability systems through appropriate accommodations on assessments, and ED develops model alternative assessments for states to use when students cannot be accommodated in the regular assessment program. ED efforts include the development of an LEP toolkit and training on inclusion and issues related to assessment for students with special needs.

- **Reauthorization of ESEA.** The Department has developed a reauthorization proposal that will help build the capacity of schools and teachers to deliver challenging curriculum and engaging instruction aligned to high standards. These proposals include promoting staff development to ensure that teachers have the knowledge and skills necessary to help all students meet high standards and using technology to support student learning.

## How We Coordinate with Other Federal Agencies

- **Research and Development.** ED is building on the math and science activities funded by the National Science Foundation (NSF) and is working with NSF to learn from and build on the systemic initiatives.

- **Implementing Standards.** ED is working with the National Education Goals Panel, as well as various organizations and associations to promote strategies to implement standards in the classroom. ED is also helping agencies that operate schools, such as the Department of Defense and the Department of the Interior (Bureau of Indian Affairs), to develop and implement high standards for all students.

- **Assessments Issues.** ED is working with the National Academy of Sciences (NAS) to disseminate information on state-of-the-art assessment techniques. There is also significant coordination on standards and assessment issues within the U.S. Department of Education. The Office of Elementary and Secondary Education (OESE) heads up a Standards Team in the Department that includes representatives from offices within ED. OESE has worked closely with the Office of Special Education and Rehabilitative Services (OSERS) and the Office of Bilingual Educational Minority Languages Affairs (OBEMLA) on inclusion guidelines.

## Challenges to Achieving Our Objectives

The Department's emphasis on standards and aligned assessments for all students has contributed to progress in the development of content and performance standards in mathematics and reading/language arts in the states.

First, the *1999 National Assessment of Title I, Promising Results, Continuing Challenges,* identified several challenges related to standards. The pace of progress in the development of performance standards is lagging because states are concurrently developing and implementing their assessments. Gauging the rigor and quality of standards is also a challenge. The development of state content and performance standards is an ongoing process requiring constant revision, improvement, and raising of expectations and standards. To be meaningful, standards at the state level must be accompanied by ongoing efforts to bring standards to the classroom level, to equip teachers to help students meet standards, and to set in place measures of accountability for meeting expectations. The Title I evaluation report recommends that strategies be developed to ensure that the progress of *all* students—particularly disabled children and those with limited English proficiency— is considered as systems for setting goals and measuring and reporting progress for various groups are established.

## Objective 1.2: Schools help all students make successful transitions to college and careers.

### National Need

**National Concerns.** Statistics show that many students are not receiving the academic or technical skills preparation needed to succeed in college and the knowledge-based economy of the 21st century. Although the high school dropout rate has declined slightly, about 13 percent of young Americans between the ages of 16 and 24 do not graduate from high school or earn a GED. Of the high school graduates who go on to college, half drop out by the end of their sophomore year. Objective 1.2 focuses on helping schools make lasting changes in teaching and learning so that all students can achieve high academic and technical skills standards and make successful transitions to college and careers. Changes include setting high standards for all students; creating small and safe learning environments; making learning relevant; using technology to expand access to information; using a wide variety of student performance assessments; and cultivating partnerships with parentals, elementary and secondary schools, postsecondary institutions, community leaders, and employers.

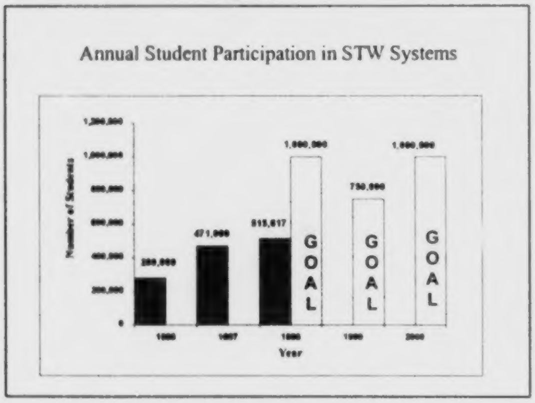
**Our Role.** The Department provides national leadership to improve the quality of career and technical, adult, and workforce education. The programs administered through the Office of Vocational and Adult Education (OVAE) help secondary, postsecondary and adult education students gain the academic and technical knowledge needed to succeed in further education, careers, and citizenship. They promote education reform and improvement, and accountability for results.

### Our Performance

## Indicator 1.2.a. By fall 2000, 1 million youths will participate annually in School-to-Work (STW) Systems.

**Assessment of Progress.** Positive trend toward target. The targets for 1999 and 2000 were reduced by 50 percent because a more rigorous definition of "STW participant" was adopted. "Participants" are defined as students who take integrated academic and vocational coursework and participate in work-based learning.

Figure 1.2.a.1

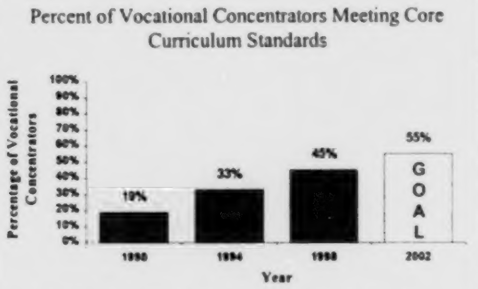


**Source:** Progress Measures Survey. *Frequency:* Annual. *Next Update:* 2000 for 1999-00 school year data. **Validation procedure**: Data were collected before ED standards for evaluating the quality of program performance data were developed. However, data from other sources – including the National STW evaluation – corroborate these findings. **Limitations of data and planned improvements:** This survey is voluntary and collects data only from sub-state funded local partnerships. As the Federal investment in state STW initiatives ends - beginning in 1999 with the first 8 states that were funded in 1994 - fewer local partnerships will be funded and have the resources required to gather and submit data.

## Indicator 1.2.b. By fall 2000, the percentage of vocational concentrators completing core curriculum standards will double from baseline data.

**Assessment of Progress.** Positive trend toward target. The previous target set for 2002 was 33 percent; this was raised to 50 percent because the previous goal was already achieved. "Core curriculum standards" include 4 years of English and 3 years each of math, science, and social studies. This course sequence is the basis for a postsecondary preparatory curriculum.

Figure 1.2.b.1



* A "Vocational Concentrator" is a student who completed 3 credits in one of the following specific labor market preparation programs: agriculture, business/office, marketing/distribution, health, occupational home economics, trade and industry, or technical communications.

**Source:** NAEP. *Frequency:* Approximately every 4 years. *Next Update:* 2002 for 1997-98 school year data. **Validation procedure:** Data validated by NCES review procedures and NCES Statistical Standards. **Limitations of data and planned improvements:** In future years, this indicator will be supplemented with another measure of academic attainment – performance on state-established academic proficiencies – as specified in the 1998 Perkins Act.

## Indicator 1.2.c. By fall 2000, the percentage of high school graduates, including vocational concentrators, who make a successful transition into employment, further education, or the military will increase to 90 percent.

**Assessment of Progress.** Eighteen months after graduating from high schools that participate in School-To-Work systems, 60 percent of 1996 graduates were enrolled in a 2-year or 4-year college, 7 percent were in other postsecondary training programs or the military, and 20 percent were employed full time. Overall, 87 percent of all students were enrolled in postsecondary education or the military or were employed full time. A similar proportion of vocational concentrators made successful transitions, although these students were less likely to be enrolled in postsecondary study and more likely to be employed full time (see Figure 1.2.c.1).

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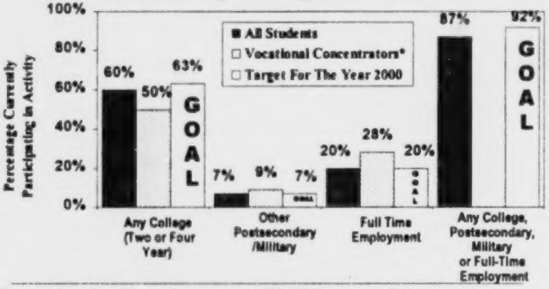
Figure 1.2.c.1

**Student Participation in Education and Employment Activities (18 months after high school graduation, 1996)**



* A "Vocational Concentrator" is a student who completed 3 credits in one of the following specific labor market preparation programs: agriculture, business/office, marketing/distribution, health, occupational home economics, trade and industry, or technical communications.
**Percentage in each activity is exclusive of other activities; where students were both employed full time and attending college, they were counted as enrolled in college.
Sample sizes: all students, n=1776; vocational concentrators, n=353

**Source:** Student surveys from National Evaluation of School-to-Work Implementation, Mathematical Policy Research. *Frequency:* Biennial. *Next Update:* 2000 for 1998 high school graduates. **Validation procedure:** Transcripts are a rigorous method for collecting information on coursework, although course titles may differ across communities for similar courses. **Limitations of data and planned improvements:** Results based on high school transcripts for sample of high school students in 8 states.

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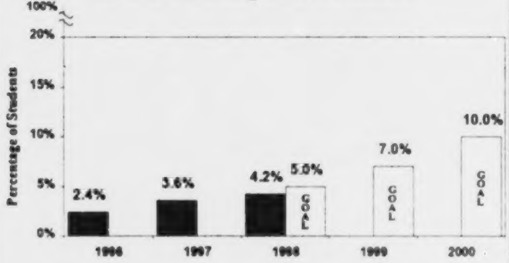
## Indicator 1.2.d. By fall 2000, 10 percent of students in local School-To-Work Systems will earn skill certificates.

**Assessment of Progress.** Positive trend toward target, but the results fall slightly short of the target.

Figure 1.2.d.1

**Students Earning Skill Certificates**



*NOTE: A "skill certificate" is a portable industry recognized credential that certifies student competency on a core set of content and performance standards related to an occupational or career cluster area.

**Source:** Local partnership surveys from National Evaluation of School-to-Work Implementation, Mathematical Policy Research. *Frequency:* Annual. *Next Update:* 1999 for 1997-98 school year. **Validation procedure:** Survey subject to rigorous data quality procedures. **Limitations of data and planned improvements:** Based on aggregate estimates of STW partnerships.

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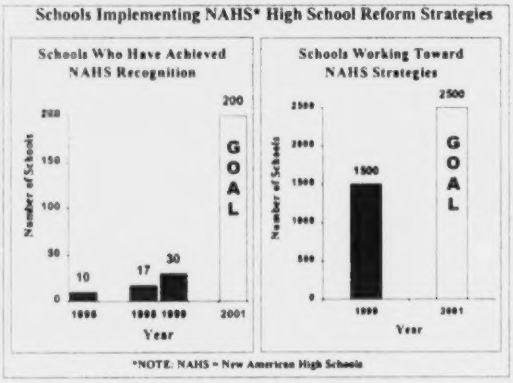
## Indicator 1.2.e. By fall 2001, 200 high schools will receive and 2,500 will be working toward Departmental recognition for implementing New American High School (NAHS) strategies that combine career and academic preparation.

**Assessment of Progress.** Positive trend toward target. As of 1999, 30 high schools received NAHS recognition and 1,500 schools were working with 3 high school reform networks to implement NAHS strategies. High school reform networks include High Schools That Work, Sonoma State University—California State Department of Education, and Jobs for the Future (JFF).

Figure 1.2.e.1



Schools Implementing NAHS* High School Reform Strategies

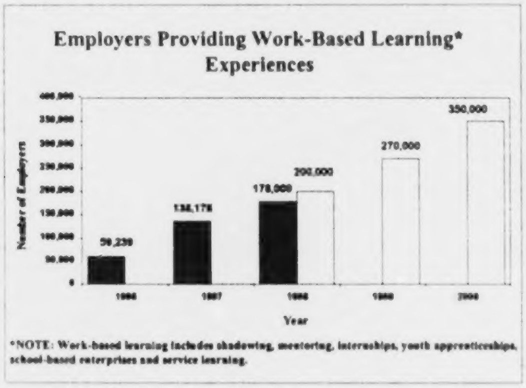
*NOTE: NAHS = New American High Schools

**Source:** NAHS application tracking documents. *Frequency:* Annual. *Next Update:* 2000 for 1999-00 data. **Validation procedure:** Data collection processes were developed before ED standards for evaluating the quality of program performance data were developed. **Limitations of data and planned improvements:** No data limitations are noted.

## Indicator 1.2.f. By fall 2000, 350,000 employers participating in School-to-Work systems will offer work-based learning opportunities.

**Assessment of Progress.** Positive trend toward target, although the results fall slightly less than the target.

Figure 1.2.f.1



Employers Providing Work-Based Learning* Experiences

*NOTE: Work-based learning includes shadowing, mentoring, internships, youth apprenticeships, school-based enterprises and service learning.

**Source:** Progress Measures Survey. *Frequency:* Annual. *Next Update:* 2000 for 1998-99 school year data. **Validation procedure:** Case studies in 4 states are underway to examine the process by which local partnerships gather the information reported in their progress reports. **Limitations of data and planned improvements:** The nature of work-based learning experiences may differ considerably across employers.

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## How We Plan to Achieve Our Objective

### How the EDs Activities Support the Achievement of This Objective.

- **Promote Effective Practices, Strong Program Outcomes, Evaluation, and Assessment.** National program dollars support new strategies and approaches to high school reform that promote high academic standards and career preparation. Special features include small learning environments; recruitment, preparation, and professional development of teachers; career-related curricula and certificates that incorporate industry standards in areas of high-demand occupations; program performance indicators; dissemination of research-based strategies and practitioner-oriented products that improve the quality of career-technical, adult and workforce education; and continued support for a national assessment of vocational education.

- **Support State and Local Sustainability of School-to-Work Systems**. Support the refinement, further implementation, and long-term sustainability of School-to-Work systems in all 50 states and territories through technical assistance to identify future funding and professional development activities.

- **Support High School Reform**. ED will continue support for the New American High Schools initiative, which helps promote high academic standards.

- **Promote and Support Transition to Postsecondary Education.** Tech-Prep funds complement state efforts to build statewide career preparation systems that provide students with technical and academic skills, and the postsecondary education required for high-tech careers and employment mobility.

- **Strengthen State Performance and Accountability Systems.** The Department will continue to work with state vocational education agencies to improve the quality, efficiency, and effectiveness of state accountability systems. Currently, all states are involved in a national effort to develop and implement common or consistent performance measures, measurement approaches, continuous improvement strategies, and reporting system definitions for both. The Department will annually publish state reported accountability results and assess the quality of these data.

- **Small Schools Initiative.** The Department will award grants to create smaller learning communities for students in large high schools, using strategies such as schools within schools, career academies, restructuring the school day, and other innovations that allow schools to ensure that every student receives personal attention and support.

## How We Coordinate with Other Federal Agencies

- **Joint Administration and Management.** The Departments of Education (ED) and the Department of Labor jointly administer the School-to-Work (STW) initiative and improve the management of this program by aligning grant-making, audit, technical assistance, budget, and performance reporting functions.

- **Research.** The Office of the Under Secretary (OUS), the Office of Educational Research and Improvement (OERI), the National Center for Education Statistics (NCES), the Employment and

Training Administration, and the Bureau of Labor Statistics collaborate on the development and implementation of a comprehensive research and evaluation agenda for STW and high school education reform.

- **Special Populations.** The Office of Special Education and Rehabilitative Services (OSERS), the Department of Labor's Offices for Youth Opportunities and Job Corps, the President's Council on Youth with Disabilities, and the Social Security Administration work together to ensure that all students, including students with disabilities and out-of-school youth have access and accommodations to participate in School-to-Work activities.

- **High School Reform.** The Office of Elementary and Secondary Education (OESE), the Comprehensive School Reform Demonstration Program, the Blue Ribbon Schools Initiative, the Parents and Families in Education Initiative, the Empowerment Zone and Enterprise Communities Initiative, and the America Counts Initiative provide leadership and technical assistance on high school education reform. Through partnerships with the Departments of Labor, Transportation, and Commerce, and the National Science Foundation, they develop career-related curricula and certificates that align industry technical standards with challenging academic standards.

- **Accountability Systems.** OUS, OESE, and the National Governor's Association jointly develop tools and products to support state and local efforts to build shared accountability systems.

- **Professional Development.** OERI's Postsecondary Institute and EDs Professional Development Team work together to provide professional development for preservice and in-service teachers on contextual teaching and learning approaches.

## Challenges to the Achievement of Our Objectives

Implementing School-to-Work Systems is a long-term effort that will require state and local support beyond the period of the initial Federal investment for system building. The Departments of Education and Labor are working closely with states to develop ways to sustain promising STW activities after Federal funding ends.

## Objective 1.3: Schools are strong, safe, disciplined, and drug-free.

### National Need

**National Concerns.** Schools must provide an orderly, safe, and drug-free environment if students are to learn effectively. The use of alcohol, tobacco, and other drugs by young people is a continuing problem for our society, although rates of use in schools remain much lower than use outside of school. Schools nationally are comparatively safe places, and students in school today are not significantly more likely to be victimized than in previous years. Crime in school facilities or on the way to school has fallen and most school crime is theft, not serious violent crime. However, a small proportion of schools experience high rates of crime and violence. Similarly, while many schools experience few or minor discipline problems, many others have moderate or severe problems. Drug and violence prevention play a critical role in helping schools establish and maintain drug-free, safe, and orderly learning environments.

**Our Role.** The Department of Education's main mechanism for supporting safe, drug-free, and orderly learning environments is the Safe and Drug-Free Schools and Community Act program (SDFSCA). SDFSCA is the Federal government's major school-based initiative to prevent youth drug use and school violence. The SDFSCA State Grants Program provides funds to governors and state education agencies to support a broad range of drug and violence prevention strategies. Governors' program funds go to local grantees, mainly community groups and organizations, and the state education agency funds flow to school districts, primarily by a formula based on enrollment. All states and more than 97 percent of school districts participate in the program. SDFS also has a national program component, a broad discretionary authority that funds programs to prevent drug use and violence, such as training, demonstrations, direct services to districts with severe drug and violence problems, information dissemination, and program evaluation. The Department also makes grants to postsecondary institutions to fund drug and violence prevention programs on their campuses.

The Department of Education is pursuing various strategies to foster school safety and drug prevention, including efforts to identify, evaluate, and disseminate effective approaches; technical assistance to states and school districts; support for after-school programs; and the hiring of staff to assist schools with implementing effective programs.

ED is setting high standards to promote the use of effective strategies by grant recipients. Together with the Department of Justice, ED issues the *Annual Report on School Safety* to encourage awareness of school safety issues and improvement of prevention efforts. In addition, ED continues to coordinate and collaborate extensively with the efforts of other Federal agencies related to youth drug and violence prevention. Finally, ED has proposed legislative changes to improve the Safe and Drug-Free Schools program. Through all these means, ED supports and encourages effective action at the Federal, state, and local levels.

### Our Performance

**How We Measure.** ED is monitoring progress on this objective in terms of national trends in student drug and alcohol use, including in-school use, as well as national trends in student victimization and violent incidents in schools. Generally, ED selected indicators from existing nationally representative data sets that could be used without incurring additional costs or imposing an additional data collection burden. "In-school drug use" has been selected as an indicator because it is most directly related to conditions that SDFSCA grant recipients are most likely to be able to change. The 30-day youth drug use indicator was selected because it aligns with a comparable indicator in the National Drug Control Strategy's Performance Measures of Effectiveness. Serious violent crime is included as an indicator because, although rare, these events are of great concern and have significant implications for public policy. Rates of fighting are included as an indicator as the best available proxy for school disorder and discipline problems. Generally, the list of indicators for the program has been streamlined over the past 2 years to focus on indicators with existing, nationally representative data sources.

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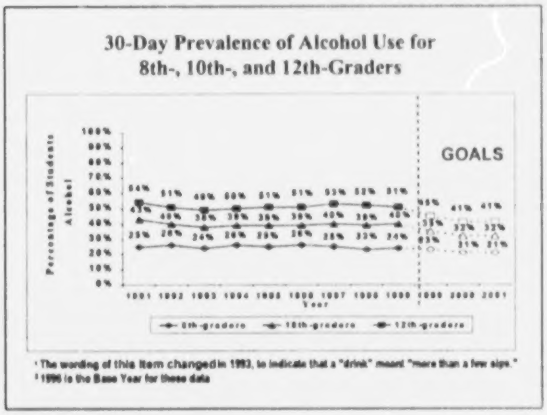
## Indicator 1.3.a. By 2000, the prevalence of past-month use of illicit drugs and alcohol among school-aged children will decrease by 20 percent as measured against the 1996 base year [Office of National Drug Control Policy (ONDCP) target].

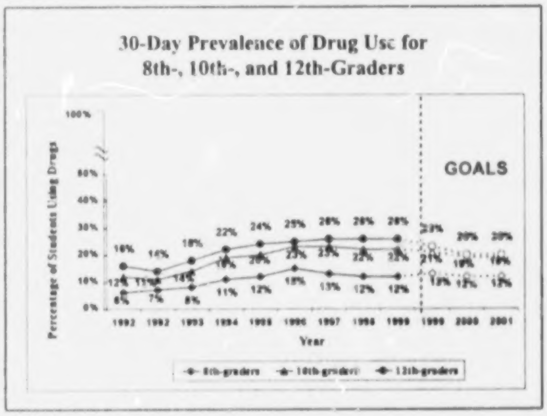
**Assessment of Progress.** Alcohol—no change. Drugs—no change. This indicator provides a national context for the school-based prevention efforts supported by ED. Rates of alcohol use for all grade levels have remained relatively steady for many years. Drug use rates have recently been relatively steady and may have leveled off. Targets for 1999 and 2000 were established by the Office of National Drug Control Policy (ONDCP to reflect a desired 20 percent decline from 1996 rates. It is unlikely that the ambitious targets for students in grades 10–12 will be achieved.

Figure 1.3.a.1



¹ The wording of this item changed in 1993, to indicate that a "drink" meant "more than a few sips."
² 1996 is the Base Year for these data

Figure 1.3.a.2



**Source:** *Monitoring the Future (MTF)*, 1999. *Frequency*: Annual. *Next Update*: 2000. **Validation Procedure:** Data validated by University of Michigan Institute for Social Research and National Institute on Drug Abuse procedures. **Limitations of data and planned improvements:** According to NCES calculations, the total response rate for this survey has varied between 46 percent and 67 percent since 1976.

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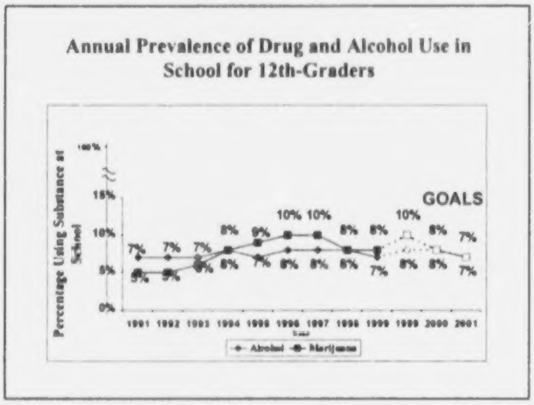
## Indicator 1.3.b. Rates of alcohol and drug use in schools will begin to fall by 2001.

**Assessment of Progress**. Alcohol—target exceeded. Marijuana—target exceeded. Rates of substance use *in schools* (see Figure 1.3.b.1) parallel, but are much lower than, *overall* use rates (i.e., use in any location). *Overall* annual grade 12 use rates (not shown in figure) for 1999: alcohol, 74 percent; marijuana, 38 percent. Rates of alcohol use in school have remained relatively steady for many years. Marijuana use rates increased in the mid-1990s, but recently they have been relatively steady and may have leveled off.

Figure 1.3.b.1



**Annual Prevalence of Drug and Alcohol Use in School for 12th-Graders**

**Source:** *Monitoring the Future* (MTF), 1999 (special analysis, 2000). *Frequency:* Annual. *Next Update*: 2000 (special analysis, 2001). **Validation procedure:** Data validated by University of Michigan Institute for Social Research and National Institute on Drug Abuse procedures. **Limitations of data and planned improvements:** Figure 1.3.b.1 shows annual use rates, which are not comparable with the 30-day rates shown in Figures 1.3.a.1 and 1.3.a.2. According to NCES calculations, the total response rate for this survey has varied between 46 percent and 67 percent since 1976. MTF does not publicly release its data on in-school use, so special runs must be requested. For grade 12 students, MTF has separate items for certain drugs, including marijuana, but no combined item asking about all drug use in school.

## Indicator 1.3.c. The number of criminal and violent incidents in schools by students will continually decrease between now and 2001.

**Assessment of Progress.** No 1999 data available, but progress toward target likely. According to 1997 survey data—released in 1999—the 1999 target has been met. Rates of violent crime victimization at school, like other measures of juvenile crime and violence, have been dropping in recent years and are likely to continue to decline. Student-reported rates of victimization provide one measure of school safety; these rates may differ from incident reports provided by administrators.

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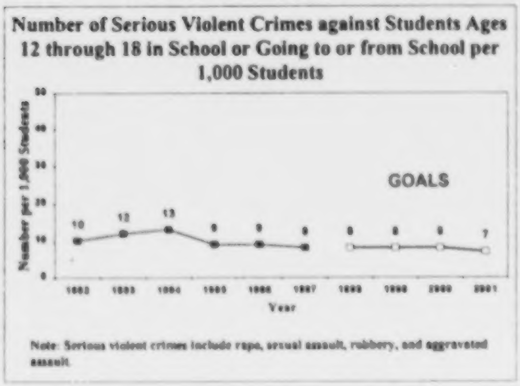
Figure 1.3.c.1


**Number of Serious Violent Crimes against Students Ages 12 through 18 in School or Going to or from School per 1,000 Students**

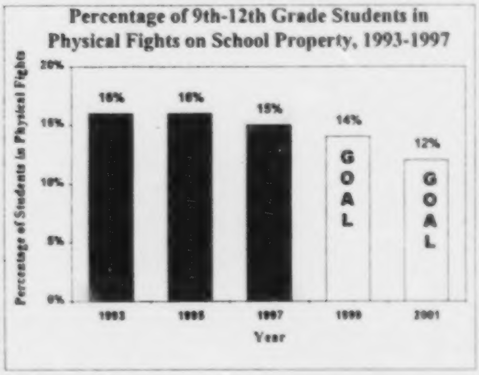
Note: Serious violent crimes include rape, sexual assault, robbery, and aggravated assault.

**Source:** *National Crime Victimization Survey* (NCVS), 1997 (special analysis, 1999). *Frequency:* Annual. *Next Update: 2000.* **Validation procedure:** Data validated by Census Bureau and Bureau of Justice Statistics procedures. **Limitations of data and planned improvements:** Most NCVS data are reported the year after collection, but in-school victimization data is a special analysis with a delayed release, so the 1998 data will be available in 2000 and the 1999 data (collection of which is not yet completed) will be available in 2001.

## Indicator 1.3.d. By 2001, the level of disorder in schools will decrease.

**Assessment of Progress.** No 1999 data available, but progress toward target is likely. The percentage of students reporting involvement in a fight at school has declined since 1995, and overall juvenile crime and violence rates are down; therefore, it seems likely that the percentage of students in a fight at school will continue to decline. The 1999 data will become available later this year.

Figure 1.3.d.1


**Percentage of 9th-12th Grade Students in Physical Fights on School Property, 1993-1997**

**Source:** *Youth Risk Behavior Surveillance System*, (YRBS) 1997. *Frequency:* Biennial. *Next Update:* 2000. **Validation procedure:** Data validated by Westat and Centers for Disease Control and Prevention (CDC) procedures. **Limitations of data and planned improvements:** YRBS data are collected biennially and reported the year after collection; 1999 data will be reported in 2000. While the most recent data show the indicator moving in the right direction, the change from 1993 to 1997 is not statistically significant.

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## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of this Objective.** ED is implementing a significant list of activities designed to help create safe, disciplined, and drug-free learning environments. These activities are designed to support high-quality prevention programming, either through providing direct assistance or improving the availability, quantity, and quality of information about effective approaches to preventing youth drug use and violence. These strategies include the following:

- **Program improvement and technical assistance.** Through the Safe and Drug-Free Schools State Grant program (for which the fiscal year 2001 budget request is $439 million), ED is promoting the program's Principles of Effectiveness through evaluations and technical assistance to ensure state and district use of effective prevention strategies and monitoring state implementation of the Principles, highlighting the activities of states that are particularly successful in implementing the Principles. ED is also using an Expert Review Panel to identify effective drug and violence prevention programs, and conducting the Safe and Drug-Free Schools Recognition Program to identify schools that are implementing exemplary and promising drug and violence prevention programs. ED is also providing grants to numerous sites to replicate effective prevention programming and to test model drug and violence prevention programs using rigorous evaluation strategies.

- **Information for the public.** ED is collaborating with the Department of Justice to continue to issue the *Annual Report on School Safety* to encourage public awareness of school safety issues and to encourage schools and communities to monitor safety and improve prevention strategies. ED is also developing a companion document to its *Early Warning, Timely Response* guide, designed to provide technical assistance to educators in preventing violent behavior by identifying and providing early help to troubled students.

- **Direct support for high quality programs.**
  - ED is providing support to organizations around the country to support implementation of high-quality programs designed to create safe, disciplined, and drug-free environments, including the Safe Schools/Healthy Students initiative, supported jointly by ED, HHS, and the Departments of Justice and Labor. This initiative helps schools and communities develop and implement comprehensive, community-wide strategies so that students can grow and thrive without resorting to violence or other destructive behaviors. ED's fiscal year 2001 budget request for the Safe and Drug-Free Schools and Communities Act (SDFSCA) includes $122 million for Safe Schools/Healthy Students projects—$40 million for a new cohort of grants in addition to $82 million in continuation costs for projects originally funded in 1999 and 2000.
  - The SDFSCA Middle School Coordinators initiative supports the hiring of program coordinators to assess drug and violence problems, and identify effective, research-based strategies to address youth drug use and violence; the Department's fiscal year 2001 budget request includes level funding of $50 million for this initiative. Other SDFSCA grant programs include a multiyear mentoring initiative with the Department of Justice to recruit and train adult mentors to help at-risk youth avoid drug use and violence, and ED's new Effective Alternative Strategies initiative, which will provide $10 million in fiscal year 2001 to support projects to reduce suspensions and expulsions and ensure continued educational progress for students who are suspended or expelled.
  - ED is continuing to expand the 21st Century Community Learning Centers program with its fiscal year 2001 budget request of $1 billion to serve almost 2.5 million students, to keep schools open as safe havens and to provide extended learning opportunities for the whole community.

- The Department's FY 2001 Budget Request also includes $120 million for the *Small, Safe, and Successful High Schools* program, which would assist high schools to create smaller, more intimate learning environments with stronger bonds between teachers and students, and thereby promote a safer and improved school climate; and an increase of $1.5 million for *Arts in Education* to expand a program launched in fiscal year 2000 to help at-risk youth interpret media images as a way of preventing youth violence, delinquency, and substance abuse.

- **Reauthorization proposal.** The Department's SDFSCA reauthorization proposal is designed to improve accountability for program funds and encourage adoption of comprehensive, research-based programs by:
  - Establishing core performance indicators for the program
  - Targeting funds to local education agencies (LEAs) with significant need and high-quality plans to use funding
  - Focusing both state education agency (SEA)/LEA and Governor's Program on the creation of safe, disciplined, and drug-free learning environments
  - Requiring development of comprehensive school safety plans that address key strategies
  - Including elements related to school safety and drug use in state, district, and school report cards
  - Strengthening the Department's capacity to provide resources to districts and communities that experience a major crisis in a school to help meet unanticipated needs, such as crisis counseling for students and staff. The Department's fiscal year 2001 budget request includes $10 million for this purpose.

## How We Coordinate with Other Federal Agencies

Youth drug use and violence are significant problems of broad concern to and linked with the mission of many federal agencies. Existing mechanisms for coordination, including the role played by the Office of National Drug Control Policy, have led to strong relationships between many of these agencies. As a result of these relationships, coordinated activities have been implemented in the following areas:

- **Data.** Support and coordinate data collection activities through consultation in the development of instruments to improve usefulness and avoid duplication of effort (e.g., Department of Health and Human Services (HHS) [Monitoring the Future, National Institute on Drug Abuse (NIDA); Youth Risk Behavior Surveillance System (Centers for Disease Control); Health Behaviors of School Children (National Institute of Child Health and Human Development); School Violent Death Study (CDC)] and Department of Justice [National Crime Victimization Survey]).

- **Evaluation.** Continue to cooperate on evaluation projects such as the National Study on School Violence being conducted in cooperation with the National Institute of Justice-sponsored National Study of Delinquency Prevention in schools; a national evaluation of the impact of the Safe Schools/Healthy Students initiative; and the School Health Policies and Programs Study with HHS, for which ED is providing consultation.

- **Information Dissemination and Technical Assistance.** Support various initiatives to provide information and technical assistance to the field (e.g., with the Department of Justice, continue to produce the *Annual Report on School Safety* and an implementation guide to *Early Warning: Timely Response*; with the Department of Justice and HHS, support technical assistance to Safe Schools/Healthy Students initiative grantees and continue to produce satellite training sessions on violence prevention strategies; with the Department of Justice, support the National Center for Conflict Resolution, the National Resource Center for Safe Schools, and the Youth Court Training and Technical Assistance Programs; with HHS, support the National Coordinating Committee on School Health).

- **Program Improvement Initiatives.** Support activities designed to enhance the quality and rigor of prevention programs in schools and communities (e.g., with HHS and the Department of Justice, support the Safe Schools/Healthy Students initiative to provide comprehensive services that promote healthy childhood development and prevent violence and alcohol and other drug abuse; with HHS and the National Institute of Mental Health, support implementation and evaluation of a developmentally appropriate intervention (Fast Track) for high-risk youth in grades 6 through 10 and their families; with NIDA, National Institute on Drug Abuse, support a study of the diffusion of risk/protective focused drug prevention for adolescents at the state and community levels; with the Department of Justice, support one-to-one mentoring programs for youth at risk of educational failure, dropping out of school, or involvement in delinquent activities, including gangs and drug abuse; with the Office of National Drug Control Policy, Project SHOUT, which supports effective approaches to the prevention of youth substance abuse through public education.

## Challenges to Achieving Our Objective

Drug use and violence involving young people are vast and complex problems affected by a host of factors, only some of which are under schools' control. These factors include societal and parental attitudes; peer pressure; activities of organized crime and gangs; individual, family, and community risk and protective factors; advertising and other media images of drug use and violence; and government efforts at the local, state, national, and international levels. In addition, these factors play out very differently from one locale to another, making it more difficult for Federal actions to respond effectively to local needs. Moreover, it is more difficult to influence local policy and implementation through a formula grant program (such as Safe and Drug-Free Schools state grants) than through a discretionary program. In a discretionary program, the Department has direct contact with a small number of grantees; however, in a state-administered formula grant program, the Department has only indirect influence on local activities and must depend on states to establish policy and monitor implementation.

Recent studies cite challenges to which the Department has responded with its reauthorization proposal.

- Lack of uniform information on program activities and effectiveness make Federal oversight difficult. (Reauthorization proposal includes development of common core of indicators and information requirements.) [General Accounting Office Study, October 1997]
- Reporting required from states every three years may be insufficient for congressional oversight. (Reauthorization proposal requires annual reporting.) [General Accounting Office Study, October 1997]
- Local Education Agencies (LEAs) should report on actual performance against performance indicators and should submit comprehensive plans with detailed descriptions of programs and services that align with measurable goals. (Reauthorization proposal requires these elements.) [Office of the Inspector General Report, December 1998]
- States should consider effectiveness of LEA-conducted activities as a criterion for awarding greatest need funds. (Reauthorization proposal requires states to award all funds based on combination of need and quality of plan.) [Office of the Inspector General Study, December 1998]
- States should consider LEA performance as a criterion for continuation funding. (Reauthorization proposal requires states to determine if LEAs have made "substantial progress" in order to receive continuation funding.) [Office of the Inspector General Study, December, 1998]

## Objective 1.4: A talented and dedicated teacher is in every classroom in America.

### National Need

**National Concerns.** Good teaching is the key to student achievement. Teachers are being asked to know and do more than ever before to meet the demands of the public and of policymakers for increased accountability and student achievement. Their knowledge and skills make a crucial difference in what students learn; recent research demonstrates that teacher effectiveness is the most important in-school factor in increasing student achievement.

We face numerous national challenges as we seek to ensure effective teaching in all our classrooms. Challenges in quantity loom as specific types of teacher shortages are felt across the Nation. These concerns about quantity in turn affect issues of quality, as school districts, in the face of shortages of qualified teachers, hire individuals without sufficient knowledge and skills. We are also faced with equity issues, as students in high-poverty areas—those who need the best teachers—often are taught by those who are least qualified.

States and school districts across the Nation are responding to the public's demand for better schools by reforming school programs, implementing new content standards and assessments, and developing new curricula and uses of technology. These and other efforts to increase student achievement will fail, however, without talented, dedicated, and well-prepared teachers in every classroom.

**Our Role.** The Administration's bill to reauthorize the Elementary and Secondary Education Act would assist state, school districts, and institutions of higher education in providing teachers and administrators across the country with access to sustained, intensive, high-quality professional development. The role of the U.S. Department of Education (ED) is to support and encourage state and district efforts to improve teaching in the United States. ED addresses this objective through six strategies:

- Improving the recruitment, preparation, and retention of new teachers through programs such as the Teacher Quality Enhancement Grant programs of Title II, Higher Education Act (HEA) and the Preparing Tomorrow's Teachers to Use Technology program
- Supporting rigorous standards for new and experienced teachers through support for the National Board for Professional Teaching Standards and through state grants under Title II HEA
- Strengthening professional development through the Teaching to High Standards program, the National Awards Program for Model Professional Development, and other programs such as Reading Excellence
- Strengthening school leadership through a proposed new initiative
- Conducting research and disseminating information on teacher quality and accountability, through such means as the Center for the Study of Teaching and Policy and the newly mandated Title II HEA Accountability Reports on teacher preparation and licensing
- Building public awareness of and measuring our progress on teacher quality issues, through speeches, conferences, and measures such as the Title II HEA Accountability Reports and the Biennial National Report on Teacher Quality

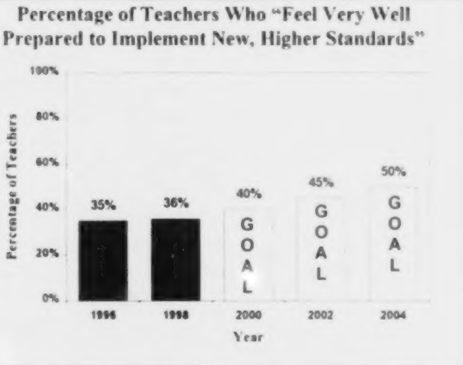
## Our Performance

**How We Measure.** The six performance indicators in the Strategic Plan for Objective 1.4 focus on key outcomes regarding the quality of the teaching force and the policies that affect the teaching force.

### Indicator 1.4.a. The percentage of teachers who feel very well prepared to implement new, higher standards will increase annually.

**Assessment of Progress.** No significant change between 1996 and 1998. No 1999 data available because data are collected every 2 years. Related data released from the Longitudinal Evaluation of School Change (LESCP) in Title I schools demonstrate a challenge to achieving this target. In the 1998 LESCP, among a sample of 71 high-poverty schools receiving Title I funds, slightly less than half of teachers were "very familiar" with the content and performance standards of their state or district in mathematics and reading. No 2001 goal has been set because the next data collections will be in 2000 and 2002.

Figure 1.4.a.1


**Percentage of Teachers Who "Feel Very Well Prepared to Implement New, Higher Standards"**

**Source:** Teacher Quality Fast Response Survey (FRS). *Frequency*: Every 2 years. *Next Update*: 2000. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** Indicator is based on teacher self-reported data. In addition, the exact question differed across the 2 years of data collection: in 1996, teachers reported how well prepared they were to implement "new, higher standards"; in 1998, teachers reported how well prepared they were to implement "state/district standards." In 2000, teachers will report how well prepared they are to implement "state/district standards." This indicator is intended to be a measure of teachers' readiness to implement standards. However, in some cases, it may inadvertently only measure whether a teacher is aware of the standards.

### Indicator 1.4.b. By 2002, 75 percent of states will align initial teacher certification standards with high content and student performance standards.

**Assessment of Progress.** Positive trend toward target. According to data from the Interstate New Teacher Assessment and Support Consortium (INTASC) in 1999, 19 states were in the process of aligning their initial teacher certification standards with their content standards and performance standards for students. However, ED will not know fully if it is on track to achieve targets until states' self-reported baseline data are submitted in early 2001 through the State Report Cards. ED's evaluation of the programs authorized under Title II HEA will provide high-quality followup data in 2003 on this indicator. No chart is provided.

**Source:** State Report Card on the Quality of Teacher Preparation, as mandated in Sec. 207 of Title II. *Frequency*: Annual. *Next Update*: October 2001. An independent review of states' standards for initial teacher certification provided through ED's evaluation of the state grant program of Title II. *Frequency*: One time. *Next Update*: 2003. **Validation procedure**: State Report Card: Data validated by NCES and *NCES Statistical Procedures*, Independent review: Data supplied by review panel; data are corroborated by ED's evaluation of state grantees' activities and progress. **Limitations of data and planned improvements:** There are several data limitations. First, currently there are no data sources that directly report whether states are aligning initial teacher certification with student content and performance standards. A proxy data source is

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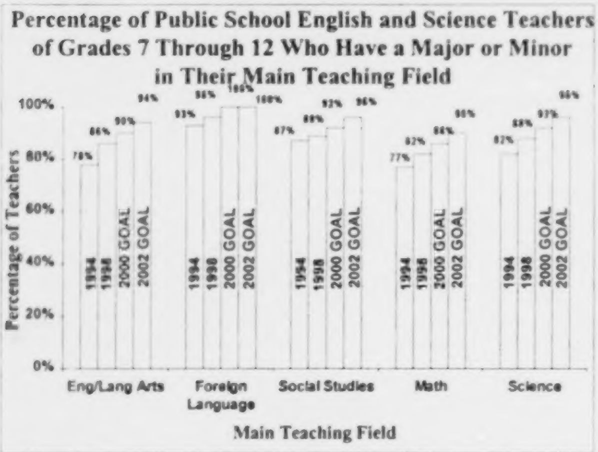
whether states have adopted the standards established by the Interstate New Teacher Assessment and Support Consortium (INTASC). INTASC includes the alignment of teacher certification with student performance and content standards as one of its core standards. In October 2001, complete data on this indicator will be available from the State Report Card.

## Indicator 1.4.c. Throughout the Nation, the percentage of secondary school teachers who have at least a minor in the subject they teach will increase annually.

**Assessment of Progress.** Target met for 1998. No 1999 data available because data are collected every 2 years. Increasing percentages of teachers in English, foreign language, math, and science have a major or minor in their main teaching field from 1993-4 to 1998. The percentage of English teachers with a major or minor in English increased the most, by 8 percentage points.

Figure 1.4.c.1



**Source:** Schools and Staffing Survey (SASS); and Teacher Quality Fast Response Survey (FRS). *Frequency:* SASS: Every 6 years; FRS: Every 2 years. *Next Update:* SASS: 2000; FRS: 2000. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** Some teachers report that, although they may not have a major or minor in their main teaching field, their schools or districts require them to take additional courses in their main teaching fields. Thus, in some cases, teachers who do not have a major or minor in their subjects may be adequately prepared to teach in those subject fields. In addition, these data do not account for teachers who teach without a major or minor in a field that is not their main teaching assignment.

Supporting data from the report *Key State Education Policies on K-12 Education*, by the Council of Chief State School Officers, reveals that in 1998, 21 states had a policy requiring teachers to have a major in their field of teaching, and 31 states required either a major or a minor. This is an increase from 1995, when 19 states required teachers to have a major in their field of teaching, and 28 required either a major or a minor. No 2001 goal has been set because the next data collections will be 2000 and 2002.

## Indicator 1.4.d. Increasing percentages of teachers will have weekly, common planning periods or weekly collaborative meetings with other teachers to improve curriculum, teacher knowledge, teaching skills, and student performance.

**Assessment of Progress.** Unable to judge progress for this indicator because only 1998 baseline data are currently available. Next data collection will be in 2000 and 2002. Currently, 60 percent of teachers report having weekly common planning periods and 34 percent report having regular collaborative meetings.

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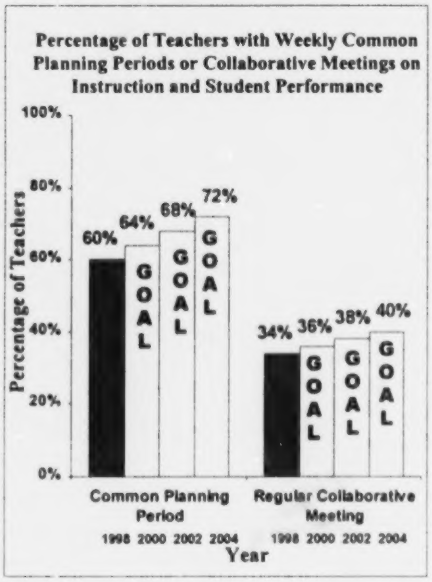
Figure 1.4.d.1



**Sources:** The Teacher Quality Fast Response Survey (FRS) and the Schools and Staffing Survey (SASS). *Frequency:* FRS: Every 2 years; SASS: Every 6 years. *Next Update:* FRS: 2000; SASS: 2000. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** The main source of data for this indicator is large-scale surveys of teachers; this kind of survey will not provide in-depth data on the quality, content, and productivity of this collaborative time. For example, in 1998, although 60 percent of teachers indicated they had a common planning period, it is possible that some of these planning periods are short in duration and occur infrequently.

## Indicator 1.4.e. Increasing percentages of teachers will participate in a formal, high-quality induction program during their first year of teaching.

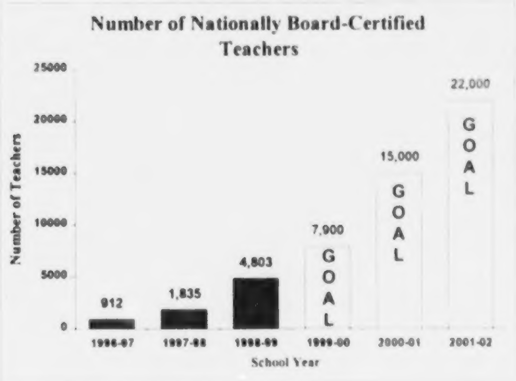
**Assessment of Progress.** Unable to judge. Next data collections will be in 2000 and 2002. No chart is provided, but future source is listed below.

**Source:** Teacher Quality Fast Response Survey (FRS); Schools and Staffing Survey (SASS). *Frequency:* FRS: Every 2 years; SASS: Every 6 years. *Next Update*: FRS 2000; SASS: 2000.

## Indicator 1.4.f. The number of Nationally board-certified teachers will increase annually.

**Assessment of Progress.** Positive trend toward target. The National Board for Professional Teaching Standards (NBPTS) establishes rigorous standards and assessments for certifying accomplished teaching. The number of Nationally board-certified teachers increased more than five-fold between 1996-97 and 1998-99, from 912 to 4,799 teachers. NBPTS aims to certify approximately 100,000 teachers by 2006; if this goal is achieved, there would be the equivalent of one certified teacher for every school in the Nation. NBPTS offers assessment packages and certificates in 16 teaching fields, giving approximately 82 percent of the teaching workforce access to National Board certification. When a total of 25 certificates are available, 95 percent of the teaching population will have access to National Board certification. Thirty-eight states now offer at least one incentive to candidates for National Board certification. Thirty-one states offer multiple incentives, including fee support for candidates and salary increases for teachers who achieve National Board certification.

Figure 1.4.f.1



**Source:** National Board for Professional Teaching Standards (NBPTS). *Frequency:* Annual. *Next Update:* Fall 2000. **Validation procedure:** Data supplied by NBPTS. No formal verification or attestation procedure applied. **Limitations of data and planned improvements:** This indicator does not fully capture the impact of the NBPTS. For example, the work of the Board has influenced the development of teacher standards in states and districts and is currently bringing about changes in curriculum or program structure at 39 teacher-training programs across 21 states.

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## Indicator 1.4.g. There will be an increase in the percentage of new teachers who feel very well prepared to (1) address the needs of students with limited English proficiency; (2) address the needs of students with disabilities; and (3) integrate educational technology into the grade or subject they teach.

**Assessment of Progress.** Unable to judge. ED currently only has baseline data from 1998, so we are unable to measure whether there has been an increase. Data will be collected in 2000 and 2002.

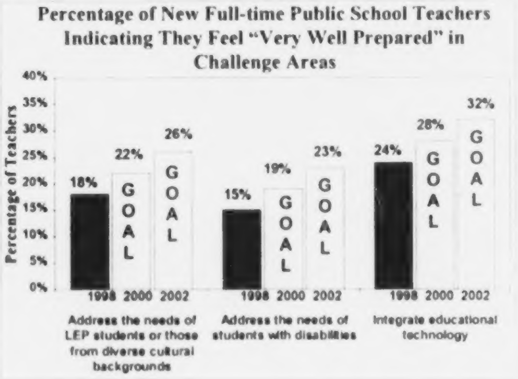

Figure 1.4.g.1

**Source:** Teacher Quality Fast Response Survey (FRS). *Frequency:* Every 2 years. *Next Update:* 2000. **Validation procedure:** Data validated by NCES review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** The 1998 Fast Response Survey asks teachers whether they are prepared to address the needs of students with limited English proficiency or those from diverse cultural backgrounds. Therefore, it did not obtain separate measures for these two different populations. The 2000 FRS will limit this question by asking how well prepared teachers are to address the needs of students with limited English proficiency only.

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## Indicator 1.4.h. Increasing numbers of states will require as part of the process of certification and licensure of new teachers a performance-based assessment of subject matter expertise and teaching skills.

**Assessment of Progress.** Unable to judge. According to 1998 data submitted by states in the State Report Card, two states—Connecticut and Ohio—require a performance assessment of new teachers for initial certification and licensure. These performance assessments include either classroom observation,

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portfolio evaluation, or both. Beginning in 2001, high-quality annual data will be collected. This is a new indicator to the fiscal year 2001 Plan.

**Source:** State Report Card on the Quality of Teacher Preparation. *Frequency:* Annual. *Next Update:* October 2001. **Validation procedure:** Data supplied by states using definitions and uniform reporting methods developed by NCES. **Limitations of data and planned improvements:** Baseline data from the Initial Report are limited in three ways. First, the data provided are only those that states had readily available. Second, there are no uniform definitions used by states in reporting information. Third, not all states submitted responses. These limitations will be corrected in future reports, as states will be required to provide information in a timely and uniform manner.

### Indicator 1.4.i. Increasing percentages of teachers will report that their principal (a) has structured teachers' workload so teachers have regularly scheduled time to work together and (b) routinely engages the faculty in conversations about how to improve instruction.

**Assessment of Progress.** Unable to judge. This is a new indicator to the fiscal year 2001 Plan, and no data are currently available. Data will be collected in 2000 and 2002. Beginning with the 2000 Fast Response Survey (available in January 2001), ED will collect high-quality data on this indicator.

**Source:** Teacher Quality Fast Response Survey (FRS). *Frequency:* Every 2 years. *Next Update:* 2000. **Validation procedure:** Data validated by NCES's review and *NCES Statistical Standards*. **Limitations of data and planned improvements:** These data will be collected for the first time in 2000.

## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of this Objective.** In supporting state and local efforts to ensure high-quality teaching, ED has organized its work around six strategies. The first three address the phases of the continuum of a teacher's career: recruitment, preparation, and support for new teachers; standards for entering and advancing in the profession; and professional development for current teachers. The fourth strategy, focused on school leadership, reflects the critical importance of school principals and administrators in ensuring support for good teaching. The fifth and sixth strategies—concerning research, outreach, and measures of our progress around teacher quality—provide a foundation for our work in the other areas.

In addition, we have made tremendous progress in coordination within ED regarding teacher quality—an issue that is addressed by most of the offices in the Department. ED's cross-office Professional Development Team will continue to improve the coordination of ED's programs that support good teaching by sharing information and strategies across programs. The team is also coordinating with the Math and Reading Initiatives to develop an awards program for outstanding teacher training programs in elementary education and secondary math.

- **Improve the recruitment, preparation, and retention of new teachers.**
  - Support the three Teacher Quality Enhancement Grant programs in Title II of the HEA ($98 million requested for fiscal year 2001). The Partnership program supports fundamental improvements in teacher education at institutions of higher education, the Teacher Recruitment program supports new strategies for reducing shortages of qualified teachers in high-need areas, and the state program supports reforms for holding teacher preparation programs more accountable for the quality and skills of their teacher graduates. These three programs represent the first major Federal investment in preservice teacher education in 30 years.

  - Create a National Job Bank and Clearinghouse on Teacher Recruitment.
  - Support the Preparing Tomorrow's Teachers to Use Technology program to build capacity at teacher preparation institutions to prepare new teachers to integrate technology effectively into curriculum and instruction ($150 million requested for fiscal year 2001).
  - Create a National Awards Program for Effective Teacher Preparation to highlight and disseminate information about teacher preparation programs (both traditional and alternative) that produce elementary teachers and secondary math teachers who have outstanding content knowledge and pedagogical skills. Impact on student achievement will be a major criterion for determining awards.
  - Host a series of nationwide conferences on teacher quality, following up on the Presidents' Summit on Teacher Quality and focusing on how institutions of higher education can improve K–12 education through teacher quality initiatives.
  - Implement a new Transition to Teaching program (included in ED's ESEA reauthorization proposal) that would expand the successful Troops to Teachers program to recruit both military personnel and other mid-career professionals by providing scholarships and other support to recruit, train, and place them in high-poverty schools and high-need subject areas ($25 million requested for fiscal year 2001). Three additional programs proposed for 2001 that aim to recruit and retain high-quality teachers are Hometown Teachers; Higher Standards, Higher Pay; and Teacher Quality Incentives.

- **Develop and support rigorous standards for teachers.**
  - Support the State Grant program in HEA Title II, which supports comprehensive state efforts to improve teacher quality, including strengthening licensing systems for new teachers.
  - Provide ongoing support for the National Board for Professional Teaching Standards (NBPTS) and the Interstate New Teacher Assessment and Support Consortium (INTASC). INTASC, a program of the Council of Chief State School Officers, is dedicated to developing performance-based licensing systems for new teachers. NBPTS establishes rigorous standards and assessments for certifying accomplished teachers.
  - Support the National Academy of Sciences' study that will analyze the current state of teacher testing, recommend ways to improve existing tests, and suggest viable alternatives. The first report will be released in spring 2000, and the second in November 2000.
  - Support state efforts to improve the licensing, hiring, supporting, evaluating, and rewarding of teachers and principals through ED's Elementary and Secondary Education Act (ESEA) Teaching to High Standards proposal ($690 million requested for fiscal year 2001).

- **Strengthen professional development.**
  - Through the National Awards Program for Model Professional Development, continue to promote results-oriented professional development that focuses on improving student achievement. In collaboration with the National Staff Development Council and the Regional Laboratories, ED will aggressively disseminate the Principles of High-Quality Professional Development and summaries of award-winning professional development programs through mailings, conferences, the Internet, and technical assistance.
  - Continue to support intensive, high-quality professional development aimed at ensuring that all teachers have the expertise needed to prepare their students to meet high standards. (The Administration's ESEA reauthorization bill proposes a new High Standards to the Classroom state grants program that would replace the Eisenhower Professional Development state grants program and focus more strongly on professional development that is collaborative, intensive, sustained, and content-based.) The program has adopted a results-based reporting system.

- Support high-quality professional development in reading through the Reading Excellence program's grants to states ($286 million requested for fiscal year 2001).
- Continue to support Bilingual Education Professional Development to help meet the critical need for qualified bilingual education and ESL teachers, including a new $16 million program designed to address the training of mainstream teachers whose assignment includes teaching limited English proficiency (LEP) students ($100 million requested for fiscal year 2001).
- Increase support for the IDEA State Improvement grant program, which is designed to assist states in addressing their needs for personnel to improve outcomes for children with disabilities ($45.2 million requested for fiscal year 2001).
- Increase support for the Technology Literacy Challenge Fund to help states and local districts provide educators with sustained, high-quality training in the effective use of educational technology ($450 million requested for fiscal year 2001).
- Continue to support the Special Education Personnel Development program to prepare personnel to work with children with disabilities.

- **Strengthen school leadership.**
  - Support a proposed new School Leadership program to assist centers that would help states and districts create innovative approaches to the recruitment, preparation, and support of current and prospective superintendents, principals, and assistant principals as instructional leaders through ED's ESEA proposal ($40 million requested for fiscal year 2001).

- **Support research, development, and dissemination of information on teacher quality and accountability.**
  - Produce annual reports on teacher quality, such as the *State Accountability Report on the Quality of Teacher Preparation* (to be released in October 2001) and the second biennial national report on teacher quality (to be released in January 2001), which will follow *Teacher Quality: A Report on the Preparation and Qualifications of Public School Teachers*. The second *Teacher Quality* report provides the results of a new national profile of teacher quality, specifically focused on teachers' qualifications and learning opportunities (both pre-service and continued), and the environments in which they work.
  - Continue support for a 5-year national research center, the Center for the Study of Teaching and Policy, to study the most effective ways to design and implement strategies to improve teaching at the state, district, and school levels.

- **Measure our progress and increase public awareness.**
  - Raise awareness of the importance of teacher quality through high-level speeches by the Secretary and by prominent education organizations such as the Chief State School Officers and the Education Commission of the States.

## How We Coordinate with Other Federal Agencies

ED develops relationships with other agencies and organizations whenever their work in teacher quality issues provides opportunities for us to learn from them and to inform their efforts.

- **Improving mathematics instruction and achievement.** ED and the National Science Foundation are implementing the ED-NSF Action Strategy to improve mathematics instruction and achievement.
- **Strengthening preservice teacher training and in-service professional development.** ED is coordinating with the National Staff Development Council, which is linked to the educators we are trying to assist, in the dissemination of information about the lessons from the award-winning sites from the National Awards Program for Model Professional Development. The National Aeronautics and Space Administration (NASA) is also working with ED to help strengthen ED's Teacher Quality Enhancement Grant program and to effectively design nationwide summer institutes with a particular focus on collaboration between arts and sciences and education in teacher education.
- **Improving teacher recruitment.** ED is working closely with the Department of Defense's Troops to Teachers program to expand it and to reauthorize a new, broader program that would be administered by the Department. ED is also partnering with the Department of Labor and the Immigration and Naturalization Service to change current policies that are barriers to the hiring of foreign teachers in shortage areas.
- **Research in teacher quality.** ED is collaborating with the National Science Foundation and the National Institute for Child Health and Development on the jointly funded Interagency Education Research Initiative that focuses on improving the content and pedagogical skills of reading, math, and science teachers.

## Challenges to Achieving Our Objective

More than two million teachers will need to be hired over the next decade because of normal teacher turnover, increases in student enrollment, and the retirement of veteran teachers. The pressure to hire large numbers of new teachers will make it difficult for states and districts to maintain their current standards for initial teacher certification and will work against states' efforts to elevate those standards. The issue of teacher certification is becoming increasingly prominent as groups like the Fordham Foundation call for the elimination of certification requirements. Others argue that while the current standards are inadequate, states should reform them rather than eliminate them altogether.

In addition, the strong economy and low unemployment rates mean that many teachers and teacher candidates can easily find higher paying career opportunities outside education. As more highly skilled people are drawn to higher paying fields, education may be attracting workers with relatively weak academic skills. For example, in Massachusetts in the spring of 1998, 59 percent of prospective teachers failed a new test for initial teacher certification. Although questions remain about the rigor and validity of the test, the high failure rate suggests the existence of a gap between the content and rigor of the teacher preparation programs and the knowledge and skills expected of new teachers.

Because the Nation's attention is focused increasingly on the issue of teacher quality and schools will be hiring so many new teachers in the coming years, ED has a tremendous opportunity now to address the quality of teaching in America.

## Objective 1.5: Families and communities are fully involved with schools and school improvement efforts.

### National Need

**National Concerns.** Family involvement in their children's learning is a greater predictor of academic achievement than socioeconomic status or parents' educational level. Getting families and community members involved in children's learning can be a powerful force for school improvement efforts. Thirty years of research have shown that when families are involved, chances for student academic success are increased.

**Our Role.** To help all children to achieve high standards and to improve schools, the Department of Education (ED) initiated a unique public-private partnership in 1994, known as the Partnership for Family Involvement in Education. The public-private character of the Partnership has introduced the Department to an innovative way of doing business. Priorities throughout the Agency have been reshaped and staff from each of the program offices meet weekly to coordinate efforts for conducting research, developing publications, and hosting conferences.

The Partnership supports four nationwide activities that enhance the Department's objectives: (1) improving reading in the early grades through the America Reads Challenge and the Compact for Reading Initiative; (2) encouraging greater outreach to families as children go back to school; (3) helping middle and high school students and their families think about postsecondary school early; and (4) providing positive extended learning opportunities to children. At the grassroots level, the Partnership's members are linking local efforts to these national education priorities. Thus the Partnership serves as a model for local communities.

Partnership members belong to one of four sectors: Family/School Partners (major parent and education associations, schools, school districts, and postsecondary institutions); Employers for Learning (local and national businesses and business associations); Community Organizations (such as the Boy Scouts of America, Girl Scouts USA, and the National Urban League); and Religious Groups (including 33 national faith communities that represent 75 percent of religiously affiliated Americans). Partners come together for sector steering group meetings to discuss potential activities, meetings, conferences, and publications.

The Partnership and its more than 6,000 members focus on specific national activities—America Goes Back to School, the America Reads Challenge, Think College Early, and 21st Century Community Learning Centers. Partners receive publications issued by the Department on family involvement and participate in conferences and regional meetings cosponsored by the Partnership. In addition, parental and community involvement is promoted through ED's programs—Title I, Even Start, special education, bilingual education, migrant education, postsecondary education, and Goals 2000.

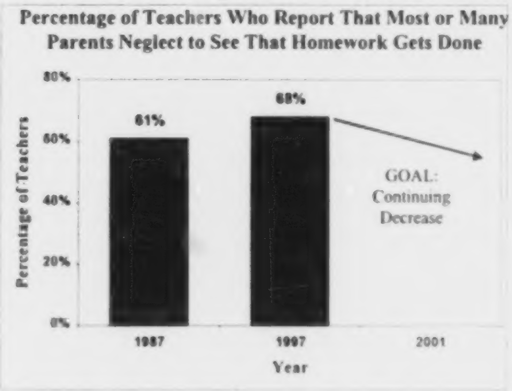
### Our Performance

**How We Measure.** Performance indicators for Objective 1.5 focus on measuring family involvement in education from the vantage points of both the parent and child. Research has shown that parent involvement can make a positive difference in students' success in school when parents and other family members get involved in key areas such as homework, attending school activities, getting involved in volunteer activities and committees, and after-school learning.

## Indicator 1.5.a. The percentage of students who come to school ready to learn and with their homework completed, as rated by their teachers, will increase substantially during the next five years, especially among children from low-income families.

**Assessment of Progress.** Although 1999 data are unavailable, recent data suggest that the Nation is moving further from this goal rather than closer to it. Surveys show that across all households, most family members do not spend time on homework completion with their children. Even though many believe that with greater awareness of the key role of family involvement for children's academic success, more parents would be supervising their children's homework completion, the opposite is true. Both teachers and students report that the number of parents who do not guide homework completion has increased in the last decade. In 1997, 68 percent of teachers reported that most or many parents neglect to see that homework gets done. The American Teacher 1999 Metropolitan Life survey of students in grades 3-12 showed that in 1998, more than one in five students reported hardly spending any time at all talking with parents or guardians about school or homework, a slight increase from 1993 (19 percent).

Figure 1.5.a.1



**Percentage of Teachers Who Report That Most or Many Parents Neglect to See That Homework Gets Done**

**Source:** The American Teacher 1998, Metropolitan Life. *Frequency:* The topics for these annual surveys are determined by its sponsor, and no future date for asking similar questions is known. *Next Update:* N/A. **Validation procedure:** The Metropolitan Life survey was conducted by Louis Harris and Associates by telephone with a National sample of teachers in grades 6-12. **Limitations of data and planned improvements:** This is an assessment of parents obtained from a survey of teachers.

## Indicator 1.5.b. The percentage of parents who meet with teachers about their children's learning will show improvement, and the gap in participation in parent-teacher conferences between high- and low-poverty schools will close.

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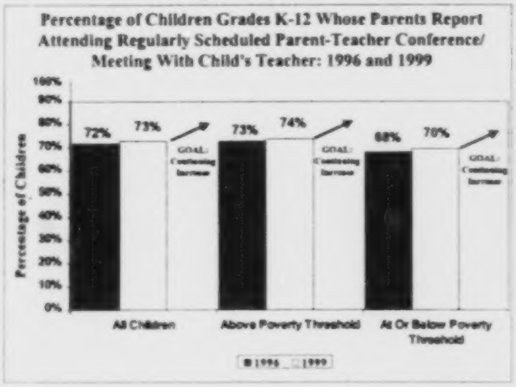
**Assessment of Progress.** There was no significant change in the percent of parents attending parent-teacher conferences across income levels. Nearly 70 percent of members of families at or below the poverty threshold reported attending parent-teacher conferences in 1999.

Figure 1.5.b.1



**Source:** U.S Department of Education, National Center for Education Statistics, National Household Education Surveys, 1996 and 1999. *Frequency:* Every 4 years. *Next Update:* 2003. **Validation procedure:** Data validated by NCES review procedures and NCES Statistical Standards. **Limitations of data and planned improvements:** No known limitations.

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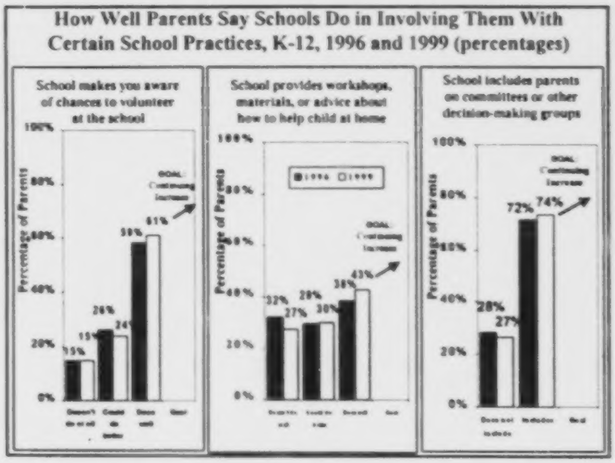
## Indicator 1.5.c. The percentage of parents who say that the school actively encourages and facilitates family involvement will increase.

**Assessment of Progress.** There was essentially no change in the percentage of parents reporting that schools actively encourage family involvement. In 1999, 61 percent of parents said that the school made them aware of chances to volunteer. In 1996, 38 percent of parents reported that their school provides workshops, materials, or advice about how to help children at home; and in 1999, the figure increased slightly to 43 percent. In 1999, 73 percent of parents said their school included parents on committees or other decision-making groups. Other measures of parental involvement remain unchanged.

Figure 1.5.c.1



**Source:** U.S. Department of Education, National Center for Educational Statistics, National Household Education Survey, spring 1996 and spring 1999. *Frequency:* Every 4 years. *Next Update:* 2003. **Validation procedure:** Data verified by NCES, according to NCES Statistical Standards. **Limitations of data and planned improvements:** No major limitations.

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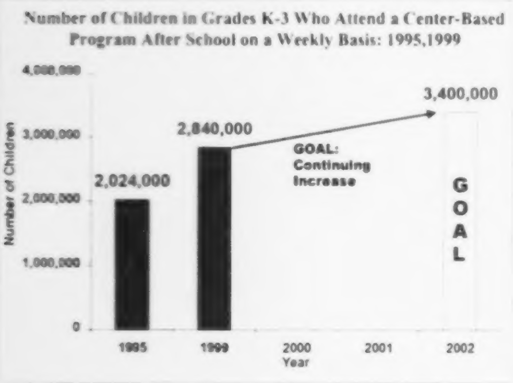
## Indicator 1.5.d. By 2002, the number of children participating in after-school programs will double, from 1.7 million to 3.4 million children.

**Assessment of Progress.** Progress toward target. The number of children increased from 2,024,000 in 1996 to 2,840,000 in 1999. Six million youngsters grades K–8 were active in center-based after-school programs in 1999. Thus, the number of young people involved in after-school programs has tripled since earlier data were collected in 1991, exceeding our goal. High-quality after-school programs with goal setting, low staff-student ratios, strong family involvement, and linkage with classroom instruction help ensure children's continuous growth, development, and learning through the preadolescent and adolescent school years (Safe and Smart, 1998). While a number of communities are already developing such after-school programs, they are not widespread, particularly in the public schools. In 1998, there were 28 million school-aged children with parents in the workforce. But as recently as the 1993-94 school year, 70 percent of all public elementary schools did not have a before- or after-school program. In addition, the majority of extended-day programs were aimed at kindergarten and early elementary school students, and focus on supervised care rather than academic instruction. According to the 1996 National Household Education Survey (NHES), 13 percent of the Nation's primary school children (kindergarten through grade 3) attended center-based after-school programs on a weekly basis.

Figure 1.5.d.1



**Source:** National Center for Education Statistics, National Household Education Surveys, 1995 and 1999. *Frequency:* Every 4 years. *Next Update*: 2001. **Validation procedure:** The last major study of after-school programs used 1991 data. Data from the 1993-94 Schools and Staffing Survey were used by NCES to determine school-based after-school programs in 1996. **Limitations of data and planned improvements:** The participation data from the 1995 National Household Education Surveys only cover children in grades K-3. This survey will be followed up in 2001.

## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of this Objective.** The Department meets national needs by providing funding, conducting research, and issuing materials relevant to education priorities. It builds awareness and encourages local capacity-building through its support for programs such as parent centers and education labs, and through its public-private efforts such as the Partnership. These activities can be grouped into four broad categories: financial support for Federal programs; the Partnership for Family Involvement in Education; expanded outreach, collaboration, and technical assistance; and research.

- **Financial support for Federal programs that support families to help their children learn.**

  - Support the startup or expansion of 10,000 21st Century Community Learning Centers that would provide extended learning services to about 2.5 million students ($1 billion in fiscal year 2001).
  - Expand state projects and local postsecondary school partnerships under GEAR UP ($325 million).
  - Expand family literacy programs through Even Start ($150 million).
  - Support Goals 2000 Parent Information Resource Centers that exist in every state and territory ($33 million).
  - Increase support for IDEA parent information centers for families of children with disabilities ($26 million).

- **Partnership for Family Involvement in Education (PFIE).**
  - Involve local partners in PFIE's lead initiatives: 21st Century Community Learning Centers ("the after-school initiative"), the America Reads Challenge, America Goes Back to School, and GEAR UP.
  - Launch 50-state effort to involve families in reading with their children at home, linked to in-school activities, through the Compact for Reading initiative.
  - Continue to seek out new partners through outreach efforts that promote family-school-community partnerships.
  - Work with member organizations from education, business, community groups, and faith communities to build local coalitions and to further their own family involvement activities.
  - Hold religious and education summits across the Nation to promote family involvement activities.
  - Work with representatives from program offices across ED to leverage partners to increase participation in the lead initiatives, and use these initiatives to gain additional partners.
  - Promote greater student involvement in PFIE efforts.
  - Continue to work through a new public-private after-school partnership with the Charles Stewart Mott Foundation, that pledged $83 million over five years to provide technical assistance, training, and public outreach to support high-quality extended learning opportunities.
  - Strengthen the Afterschool Alliance composed of the Department, the Mott Foundation, Creative Artists Agency, the Entertainment Industry Foundation, the Ad Council, *People* magazine, and J.C. Penney, which was formed to provide a public campaign on the need for creative after-school programs so that all children by 2010 will have access to programs.
  - Expand the number of partner organizations in the Partnership for Family Involvement in Education, which has grown by more than 1,200 to total now more than 6,000 family, school, community, employer, and religious organizations.
  - Continue to measure customer satisfaction through a customer satisfaction survey of Partner organizations. More than 80 percent of respondents said that they had benefited from their participation in the Partnership for Family Involvement in Education, and a majority reported that their level of activity had increased since they had joined.
  - Collaborate with major national business conferences, the Conference Board and *Working Mother* magazine's annual CEO Summit to highlight the efforts of employers who strengthen employee involvement in education and build business-education partnerships that support systemic reform in local schools.
  - Provide information, technical expertise, and other assistance to enable families and communities to become involved in children's learning through printed matter, civil rights technical assistance, and the Internet.

  - Evaluate Web site. Partnership outreach efforts have resulted in the significant redesign of the Partnership's Web site, which is supported by *USA Today* and linked to its main news site, which receives 75 million hits daily. *Community Update*, with information about Partnership activities, now circulates to more than 275,000 subscribers.
  - Develop guides. In an initiative launched by the President, materials and effective practices guides on the involvement of faith communities have been developed.
  - In support of the Vice President's initiative on strengthening fathers' involvement in children's lives, a collaborative effort has been undertaken with the Office of the Vice President and the Department of Health and Human Services (HHS) focusing on fathers' involvement in children's learning. A nationwide teleconference, "Fathers Matter!" was co-hosted by the Secretaries of Education and HHS and featured examples of effective practices from across the Nation. Products and materials—including an effective practices guide, a toolkit for practitioners, and a set of tips for dads in English and Spanish—are being developed.
  - Sign on more states. Four states have signed on to the Partnership through their governors and chief state school officers: Maryland, Delaware, Illinois, and North Carolina are building systemic efforts that support family involvement in education.
  - Hold Partnership meetings in collaboration with the Parent Information and Resource Centers (PIRCS), bringing Partners and PIRC staff from the same region(s) together.

- **Expanded outreach, collaboration, and technical assistance**.
  - Coordinate Federal program assistance and training materials for family involvement in children's learning by connecting parent provisions in Title I and other programs for at-risk students, such as Comprehensive Regional Assistance Centers, Parent Information, and Resource Centers currently authorized under Goals 2000, and Civil Rights outreach activities.
  - Support parents of children with disabilities through IDEA technical assistance and dissemination and parent information centers.
  - Increase use of Web site information dissemination by expanding resources on the PFIE Web page to include additional publications, training materials, evaluation templates, guides to effective practices, examples of model programs, and other resources that can strengthen Partners' networking capacities.
  - Increase outreach to Hispanic families through local summits and other activities at the regional and local levels, in collaboration with the White House Initiative on Educational Excellence for Hispanic Americans. This year more than 2,600 local family, community, education, employer, and religious leaders participated, which is twice as many as last year.
  - Hold regional conferences in collaboration with Secretary's Regional Representatives and local partners to build awareness and strengthen capacity building in support of family involvement in education.
  - Enhance special education outreach through Office for Civil Rights (OCR) partnering with advocacy organizations and through sharing information with minority parents of English language learners.

- **Research**
  - Develop and implement a long-range applied research agenda to strengthen family involvement in children's learning.
  - Annually evaluate the performance of the Partnership for Family Involvement in Education.
  - Undertake recognition activities that identify and publicize effective Partnership activities.

- Provide evaluation guidance for family-school partnerships to help students learn in such areas as after-school programs and early postsecondary school awareness.

## How We Coordinate with Other Federal Agencies

The Department undertakes coordination with other agencies as requested by the Administration. It participates in ongoing interagency meetings and activities that focus on education-related concerns that are shared among other agencies, such as the use of after-school time, getting on track for postsecondary study and workforce preparation, fathers' involvement, mentoring, computer literacy, and reading.

- **Fathers' Involvement in Children's Learning**
  - Work with the White House Cabinet Affairs office to successfully implement the Partnership's national initiative, America Goes Back to School, through participation of every Federal agency.
  - Participate in White House activities promoting the Strong Families, Strong Communities initiative in such areas as fatherhood, family involvement in education, and Family Reunions.

- **Cosponsor teleconference with other agencies to strengthen family involvement in education.** Collaborate in a teleconference that focuses on involving fathers in children's learning, with followup activities that include the release of an effective practices guide, tips for dads in both English and Spanish, and a CD-ROM toolkit for teachers and practitioners.

- **Collaborate with agencies across government to support after-school learning.** Work through the National Performance Review with the Departments of Health and Human Services, Housing and Urban Development, the Departments of Agriculture and Justice, the Corporation for National Service, and many others to coordinate efforts that make the most of children's out-of-school time.

- **Work with the private sector to raise awareness and build capacity.** PFIE continues to obtain input and support from numerous public and private organizations, such as the National Middle Schools Association, the College Board, and the Boy Scouts of America (Learning for Life) in designing and implementing the Early Awareness Information program, the National Science Foundation (NSF) National mathematics public engagement campaign, and the GEAR UP program.

## Challenges to Achieving Our Objective

Family involvement is ultimately determined by the actions of parents and their children in the home. The Department does not intervene in the lives of families, but it does work with schools and can encourage schools and other organizations that work with families to assist them in various ways. By raising awareness among local stakeholders through its research and public-private partnership efforts, the Department is able to share the latest findings on family involvement, which can be useful to local communities that are building their own programs and efforts to increase parent involvement in education.

## Objective 1.6: Greater public school choice will be available to students and families.

### National Need

**National Concerns.** Public school choice represents one important strategy to provide options to students with different learning needs. Some public school choice programs have been used to ease a disproportionate increase in minority group student isolation. Other options encourage greater flexibility in school offerings to address the needs of students, families, and communities. Another goal of public school choice may be to allow students to transfer out of schools identified for improvement. Ultimately, public school choice is meant to promote options for students to attend a school other than their assigned neighborhood school. According to a 1999 survey of parents, approximately 15 percent of all U.S. students in grades K-12 attended a public school that their families chose. Public school choice operates through various mechanisms, including charter schools, magnet schools, open enrollment policies, and postsecondary options.

**Our Role.** The Department of Education's (ED) goal is to promote and support public schools of choice that equitably serve all children, improve academic performance, and provide valuable lessons that can be used to improve public education generally. ED strives to support well designed public school choice—defined as any approach to improve teaching and learning that:

- Provides new, different, high-quality choices to families and students in public schools—choices in educational courses, activities, programs, or schools—to better meet their different learning styles, interests, and needs
- Holds schools and programs accountable to the public for results
- Stimulates educational innovation for the continuous improvement of all public schools, contributes to standards-based school reform efforts, and promotes high expectations and high achievement for all students
- Results in options that are voluntary and accessible to all students, including those who are poor, are members of a minority group, or have limited English proficiency or disabilities
- Promotes educational equity and increases opportunities for students to receive the educational benefits that diversity provides
- Increases family involvement in the education of their children

ED promotes choice in public education primarily by supporting new or significantly expanded charter schools and magnet schools through ED's Public Charter Schools Program (PCSP) and Magnet School Assistance Program (MSAP), respectively. PCSP provides startup funds for charter schools and for evaluating the effects of the charter school on other schools and students. MSAP provides funds to help school districts establish new magnet schools. The purpose of these magnet schools is to reduce, prevent, or eliminate minority group isolation and to promote diversity by creating programs that attract students from diverse backgrounds. In addition to ED's current support for public school choice, the Administration's reauthorization proposal also includes a new program called OPTIONS: Opportunities to Improve Our Nation's Schools. This program would identify and support innovative approaches to high-quality public school choice within school districts and states.

## Our Performance

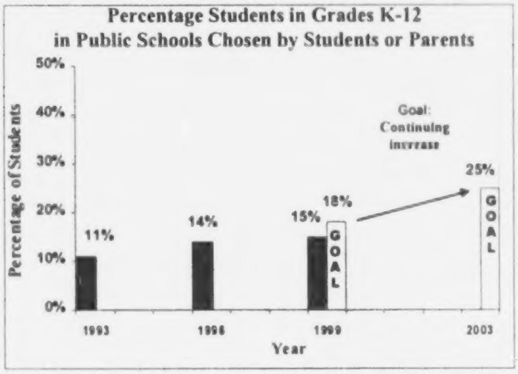
**How We Measure.** ED measures its progress toward meeting the objective of increased public school choice by tracking (1) the percentage of students in public schools of choice, (2) the number of states with charter school authorizing legislation, and (3) the number of charter schools operating nationwide.

## Indicator 1.6.a. By 2003, 25 percent of all public school students in grades K-12 will attend a school that they or their parents have chosen.

**Assessment of Progress.** The 1999 target was not met; however, there was a positive trend toward that target. The 1999 data show that 15 percent of students in grades K-12 attend public schools of their choice (including a neighborhood school to which a student was assigned, but would have chosen anyway). These performance data show that some progress was made, but we fell short of the target by 3 percent.

As the indicator states, the target for 2003 is that 25 percent of students in grades K-12 will attend a school of their choice. This ambitious target reflects the Administration's priority of expanding public school choice, the continuation of MSAP and PCSP, and the Administration's reauthorization proposal for expanded choice options funded by the Opportunities to Improve Our Nation's Schools (OPTIONS) program. There is also the expectation that other non-Federally supported public school choice programs will increase in numbers that will result in increasing percentages of students enrolled in schools that they and their families choose. It is therefore likely that there will be progress made toward future targets (see Figure 1.6.a.1).

Figure 1.6.a.1

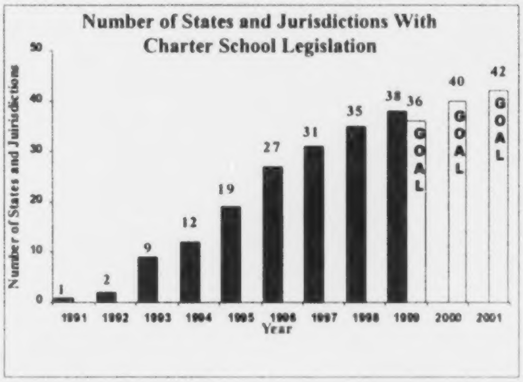


**Source:** NCES, National Household Education Surveys, 1993, 1996, and 1999 National Center for Education Statistics (NCES). *Frequency:* periodic (1993, 1996, 1999, and 2003) *Next Update:* 2003. **Validation procedure:** Data validated by NCES review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** No known limitations.

## Indicator 1.6.b. By 2000, a minimum of 40 states will have charter school legislation.

**Assessment of Progress.** Target exceeded and positive trend toward 2000 target. Since Minnesota became the first state to enact legislation authorizing charter schools in 1991, 38 states have followed suit as of 1999. *[All references to the number of "states" with charter school legislation or with operating charter schools include the District of Columbia and Puerto Rico.]* President Clinton set the target for 2000 at 40 states with charter school legislation, and the target for 2001 is 42 states with charter school legislation (see Figure 1.6.b.1).

Figure 1.6.b.1

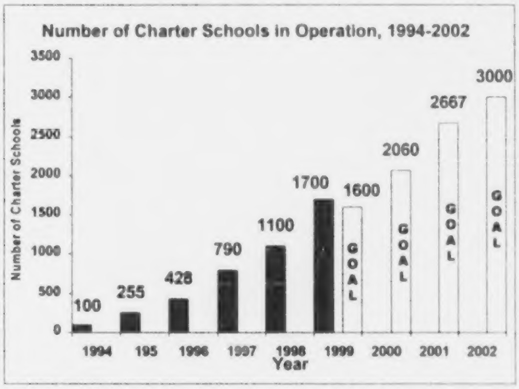


**Source:** State Educational Agencies; State legislatures. *Frequency:* Quarterly. *Next Update:* Summer 2000. **Validation procedure:** Data validated by the ED staff and corroborated by information from other sources. **Limitations of data and planned improvements:** The definition of state charter school legislation varies.

## Indicator 1.6.c. By 2002, there will be at least 3,000 charter schools in operation around the Nation.

**Assessment of Progress**. Target exceeded and positive trend toward 2002 target. The target that at least 3,000 charter schools will be in operation by 2002 was set by President Clinton. The number of charter schools has been increasing rapidly since the first charter school opened in Minnesota in 1992. More than 1,700 charter schools are in operation in the current 1999-00 school year, which exceeds the goal of 1,600 charter schools in operation that was set in last year's Annual Plan. The performance target for the 2000-01 school year is 2,060 schools in operation, and the target for the 2001-02 school year is 2,667 schools (see Figure 1.6.c.1).

Figure 1.6.c.1



**Source:** State Education Agencies; State legislatures; Center for Education Reform (as a cross-reference). *Frequency:* Annual. *Next Update:* Summer 2000. **Validation procedure:** Data verified by the U.S. Department of Education data quality attestation process and *the ED Standards for Evaluating Program Performance Indicators*. **Limitations of data and planned improvements:** Cross-referencing sources has helped validate figures received from various sources. The nature of state laws significantly influences the growth of charter schools; although 38 states have authorizing legislation, the majority of charter schools are located in seven states (Arizona, California, Colorado, Florida, Michigan, North Carolina, and Texas).

## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of this Objective.** ED supports the objective of greater public school choice in several ways: by providing financial support for public school choice; by promoting Federally funded magnet and charter schools through outreach and networking; by providing high-quality, timely technical assistance; and by supporting research and evaluation.

- **Provide financial support for public schools of choice.** ED will support the planning and startup costs of up to 2,200 charter schools (serving about 420,000 students) in the 2001-02 school year, funded with the fiscal year 2001 ($175 million) budget request by Public Charter Schools Program. It will also support new magnet school projects in 60 school districts (with an average of seven or eight magnet schools per district) in the 2001-02 school year funded, with the fiscal year 2001 ($110 million) request by the Magnet Schools Assistance Program. The fiscal year 2001 MSAP budget request also supports the final year of the Innovative Programs projects.

- **Support school choice within Title I.** Title I, Section 1115A of the Elementary and Secondary Education Act, currently allows school districts to use Title I funds, in combination with other funds, to implement choice programs that allow parents of students served by Title I to select an appropriate public school for their children. In addition, the fiscal year 2000 Consolidated Appropriations Act (P.L. 106-113) provides $134 million for districts with schools identified as needing improvement under Title I, Section 1116(c). Districts receiving these funds must provide the option to students in those schools to transfer to another public school of their parents' choice that has not been identified as needing improvement.

- **Promote Federally funded magnet and charter schools through outreach and networking.** ED provides information to grantees about PCSP and MSAP and facilitates networking at national conferences and regional outreach meetings. Networking among charter schools is increased through the continually updated and improved charter schools Web site (averaging 6,000 hits per week, most of which are from practitioners). PCSP promotes the use of dissemination grants by successful charter schools to spread best practice strategies to other charter schools and to traditional public schools.

- **Provide high-quality and timely technical assistance.** ED provides ongoing technical assistance and training to magnet and charter schools through the Equity Assistance Centers, the Comprehensive Regional Assistance Centers, and the Regional Education Laboratories. PCSP and MSAP staffs conduct regional and national technical assistance meetings for grantees and prospective applicants to inform them about program requirements, performance indicators, and successful approaches to implementing charter and magnet school programs.

- **Support high quality research and evaluation.** A three-year evaluation of MSAP will provide a baseline picture of the extent to which grantees are meeting Federal statutory objectives. ED is also supporting a three-year evaluation of PCSP, which will examine the roles of PCSP, state educational agencies, and charter-granting entities in promoting the development of charter schools. Several other research studies that are being conducted about charter schools include the National Study of Charter Schools (in its final year), a charter school finance study, a charter school accountability study, and a study on charter schools and students with disabilities.

## How We Coordinate with Other Federal Agencies

We coordinate with many other Federal agencies to provide the latest research news and technical assistance to guide the development of high-quality charter schools.

- **Information dissemination and technical assistance.** ED coordinates with several Federal agencies to provide information and technical assistance to the field.
    - Equity Assistance Centers provide technical assistance to MSAP and PCSP grant recipients (e.g., the Centers collaborate with ED to disseminate information about successful magnet school strategies).
    - PCSP and the ED Office for Civil Rights staff have met with the Department of Justice staff to develop guidance for charter school developers. This guidance is designed to answer questions about civil rights obligations facing charter schools, including charters in areas with court-ordered desegregation or voluntary desegregation plans.

- **Partnerships to encourage program improvement.** ED supports cooperation with several Federal agencies to enhance the quality of charter schools.
    - The PCSP staff works with IRS representatives to discuss ways to ensure that charter school developers do not experience any undue delays in acquiring tax-exempt status.
    - To encourage the adoption of high-quality public charter schools in the District of Columbia, ED has an ongoing collaboration with other Federal agencies and the District of Columbia school system.
    - PCSP works closely with the Department of Agriculture on school lunch programs to facilitate cooperation (e.g., creating materials to inform school lunch program field staff about charter programs).

## Challenges to Achieving Our Objective

- The extent to which public school choice is made available to students and families is considerably influenced by state and local decision making.
- The public does not always have a clear understanding of the terminology and the objectives of public school choice. ED's outreach efforts work to address this issue.
- Variation in state charter school laws, procedures, and oversight processes make it difficult to ensure quality in educational programs and complicate efforts to increase the quantity of charter schools.
- Some charter school authorizing agencies fail to implement charter school oversight and accountability initiatives in ways that match program goals (e.g., they may not have adequate rigor in the review process or may not ensure performance accountability).
- Many school districts are continuing to experience a disproportionate increase in minority group student isolation, making it more difficult for magnet programs to meet their desegregation objectives. School districts can consider interdistrict magnet programs that bring together students from both urban and suburban schools. Additionally, a proposed new program called OPTIONS: Opportunities to Improve Our Nation's Schools (described in ED's reauthorization proposal) would reduce barriers to effective public school choice, create new learning environments, and help decrease the isolation of students by racial, ethnic, and economic backgrounds.
- There are few incentives and many barriers (political, social, and financial) to regional or interdistrict approaches to reducing, eliminating or preventing minority group isolation.
- Changing legal standards constrict school districts' ability to use race as a criterion in selecting students to attend magnet programs.

- More teachers are needed with the skills to effectively teach in classrooms with children from diverse ethnic, economic, and educational backgrounds. A report on teacher quality by the National Center for Education Statistics (January 1999) states that only 55 percent of public school teachers feel very well or moderately well prepared to address the needs of students with limited English proficiency or from diverse cultural backgrounds. The latest study on the Eisenhower Professional Development Program (October 1999)—the Department of Education's only program devoted exclusively to the professional development of teachers—recommends that the program develop additional approaches to targeting teachers in high-poverty schools.

The GAO has several recommendations regarding charter schools:

- **Recommendation:** The secretary of education should direct states to include in their Title I plans information on the strategies, activities, and resources that the state educational agencies will use to ensure that Title I program resources serve eligible charter school students. **Response:** Nonregulatory guidance on this topic was issued by the ED in November 1997. In addition, this recommendation is being fulfilled through ED's implementation of the Charter School Expansion Act, which was signed into law on October 22, 1998. Among other provisions, this law requires the Secretary of Education and state educational agencies to ensure that every charter school receives the Federal funding for which it is eligible, not later than 5 months after the charter school first opens or significantly expands its enrollment. On May 18, 1999, ED published a notice of proposed rulemaking (NPRM) to implement that requirement. ED invited public comments on the NPRM for 60 days, reviewed those comments, and drafted final regulations. ED issued final regulations on December 22, 1999.
- **Recommendation:** The secretary of education should take the steps necessary to direct states to include charter school representation on states' Title I committees of practitioners that advise states on implementing their Title I program responsibilities. **Response:** The Department of Education does not have statutory authority to *direct* a state education agency (SEA) to include charter school representatives on the state Title I committee of practitioners. However, we strongly encourage SEAs to include representatives of the charter schools constituency and to consult closely with the charter school community.

## Objective 1.7: Schools use advanced technology for all students and teachers to improve education.

### National Need

**National Concerns.** Research has found that educational technology, when used effectively, can significantly improve teaching and learning. To support schools in incorporating technology into their curricula, the President has established the four pillars of the Educational Technology Literacy Challenge:

1. All teachers in the Nation will have the training and support they need to help students learn using computers and the Internet.
2. All teachers and students will have modern multimedia computers in their classrooms.
3. Every classroom will be connected to the Internet.
4. Effective software and online learning resources will be an integral part of every school's curricula.

The educational resources of the Internet are growing rapidly. However, many students and teachers, especially those in high-poverty or rural schools, have limited access to these resources.

**Our Role.** We have made great progress toward our goals to put modern computers in classrooms and connect them to the Internet. With increasing access to computers and advanced telecommunications, we must ensure that teachers also have the ongoing training and support they need to effectively use these investments for improved teaching and learning.

In response to this significant need, the Administration's educational technology fiscal year 2000 investments placed special emphasis on technology training for current and prospective educators. These funds will help ensure that all new teachers can use technology effectively in the classroom. In addition, the fiscal year 2001 budget requests increased funding for closing the digital divide--especially for increasing access to technology in communities with concentrations of disadvantaged students and their families--as well as for developing the next generation of learning tools to address critical educational needs.

The Department's educational technology initiatives include, among others, the Preparing Tomorrow's Teachers to Use Technology program, the Technology Literacy Challenge Fund, the Technology Innovation Challenge Grant and Star Schools programs, the Community Technology Centers, and Learning Anytime Anywhere program.

### Our Performance

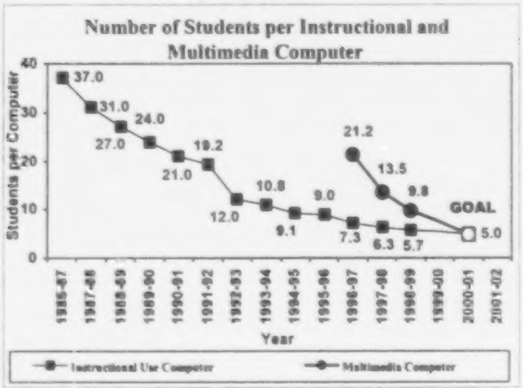
**How We Measure.** The Technology Literacy Challenge envisions a 21st century in which all students are technologically literate. The aforementioned "four pillars" are the concrete goals that help define the task, and they are at the heart of the challenge. These goals also provide the basis for performance indicators against which the Department measures the National progress in areas of educational technology supported by its programs.

## Indicator 1.7.a. The ratio of students per modern multimedia computer will improve to 5:1 by 2001.

**Assessment of Progress.** Positive trend toward target. Targets for this indicator are continual progress toward the 2001 target of five students per multimedia computer. Data show that the target of continual progress is being met and suggest that the goal of five students per multimedia computer will be achieved by 2001.

To make technology a viable instructional tool requires that schools have enough computers to provide full, easy access for all students. Citing Glennan and Melmed (1996), *Getting America's Students Ready for the 21st Century* (U.S. Department of Education, 1996) notes that many studies suggest that full, easy access requires a ratio of about five students to each multimedia computer. As shown in Figure 1.7.a.1, in 1996-97, the ratio of students per instructional computer was 7:3:1; by 1998-99, the ratio had dropped to 5.7:1. In 1996-97, the ratio of students per multimedia computer was 21:2:1; by 1998-99, it had dropped to 9.8:1. As the cost of computing power continues to decline, schools are increasingly able to afford multimedia computers and the newer hand-held technology devices.

Figure 1.7.a.1



**Source:** Market Data Retrieval, *Technology in Education*, 1997, 1998, and 1999; Market Data Retrieval, 1997 as cited in Education Week, *Technology Counts*, 1997. *Frequency*: Annual. *Next Update*: Fall 2000 for the 1999-00 school year. **Validation procedure:** Data supplied by Market Data Retrieval. No formal verification or attestation procedure applied. **Limitations of data and planned improvements:** Market Data Retrieval data do not have consistently high response rates, and response rates vary substantially across sites. Accuracy of responses may vary considerably across districts and states. *Planned improvements*: None.

## Indicator 1.7.b. The percentage of public school instructional rooms connected to the Internet will increase to 100 percent by 2000.

**Assessment of Progress.** Positive trend toward target. The target for this indicator is continual progress toward the 2000 target of 100 percent of instructional rooms connected to the Internet. Data show that the target of continual progress is being met.

Connections to the Internet make computers versatile and powerful learning tools by introducing students and teachers to new information, people, places, and ideas from around the world to which they might not otherwise be exposed. Figure 1.7.b.1 shows that in 1994 only 3 percent of instructional rooms were connected to the Internet. By 1999, 63 percent of classrooms were connected to the Internet. At this rate of progress, the goal of 100 percent by the year 2000 is likely to be met.

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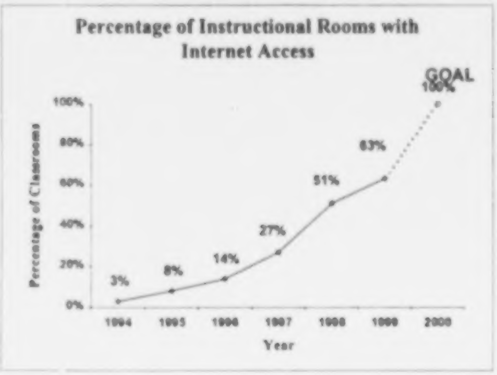
Figure 1.7.b.1



**Source:** National Center for Education Statistics (NCES), Internet Access in U.S. Public Schools and Classrooms: 1994-99, February 2000; Internet Access in U.S. Public Schools and Classrooms: 1994-1998, February 1999. *Frequency:* Annual. *Next Update:* February 2001 for fall 2000 data. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** The measure looks at access to the Internet, but does not look at Internet use or the quality of that use. *Planned improvements:* None.

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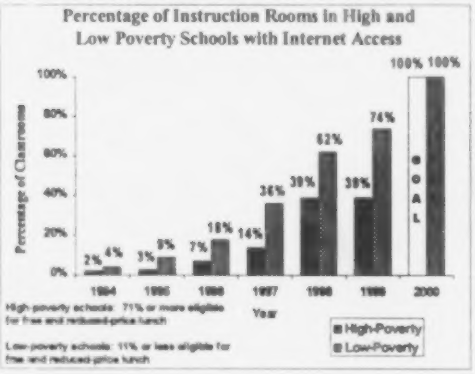
## Indicator 1.7.c. Students in high-poverty schools will have access to educational technology that is comparable to the access of students in other schools.

**Assessment of Progress.** Positive trend toward target. Providing students with access to computers and using computers to support instruction requires significant investments in hardware, software, wiring, and professional development, yet school districts vary greatly in their capacity to fund these improvements. Internet access is a good measure of access to educational technology because it requires not only an Internet connection but also access to a computer. Research has documented differences in access between high-and low-poverty schools but also shows that access in all schools is increasing. In 1994, 2 percent of classrooms in high-poverty schools and 4 percent of classrooms in low-poverty schools had access to the Internet (see Figure 1.7.c.1). By 1999, the percentage of classrooms with Internet access had increased to 39 percent in high-poverty schools and 74 percent in low-poverty schools. The Federal role in reducing these disparities is significant. In 1997-98, Federal funds paid for 50 percent of computers purchased for high-poverty schools and 14 percent of computers purchased for low-poverty schools (USED, *Study of Educational Resources and Federal Funding*, 1999).

Figure 1.7.c.1



**Source:** NCES, Internet Access in Public Schools and Classrooms, February 1998; Internet Access in U.S. Public Schools and Classrooms, February 2000. *Frequency:* Annual *Next Update:* February 2001 for fall 2000 data. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** Poverty measures are based on free and reduced-price school lunch data, which may underestimate school poverty levels, particularly for older students and immigrant students. *Planned improvements:* None.

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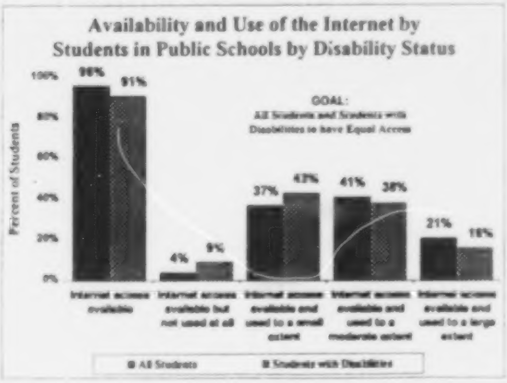
## Indicator 1.7.d. Students with disabilities will have access to educational technology that is, at a minimum, comparable to the access of other students.

**Assessment of Progress.** Target not met. Internet access is good measure of access to educational technology because it requires not only an Internet connection but also access to a computer. With the exception of moderate use, the availability of access to and extent of use of the Internet by students with disabilities is significantly less than for all students, though the magnitude of the difference is only a few percentage points. Advances in technology and universal design are making significant contributions to overcoming barriers to access for the disabled.

Figure 1.7.d.1



**Source:** NCES, Internet Access in U.S. Public Schools and Classrooms, February 2000, unpublished tabulations. *Frequency:* Annual. *Next Update:* February 2001 for fall 2000 data. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards.* **Limitations of data and planned improvements:** The measure looks at access to the Internet and extent of use but does not look at quality of use.

## Indicator 1.7.e. By 2001, at least 50 percent of teachers will indicate that they feel very well prepared to integrate educational technology into instruction.

**Assessment of Progress.** No 1999 data, but progress toward target is likely. Computers, effective software, online learning resources, and the Internet hold promise to improve learning; increase the amount of time students spend learning; and engage students in problem solving, research, and data analysis. Teachers' integration of the use of technology into the curricula is a major determinant of technology's contribution to student learning, once access to computers is provided. In 1998, 20 percent of teachers reported that they were fully prepared to integrate technology in their instruction. Federal resources for training of teachers to use technology (including the Technology Literacy Challenge Fund, the Technology Innovation Challenge Grants, and Preparing Tomorrow's Teachers to Use Technology programs) as well as state and local funds continue to support professional development in the use of educational technology for teachers and, correspondingly, progress toward the target for this indicator.

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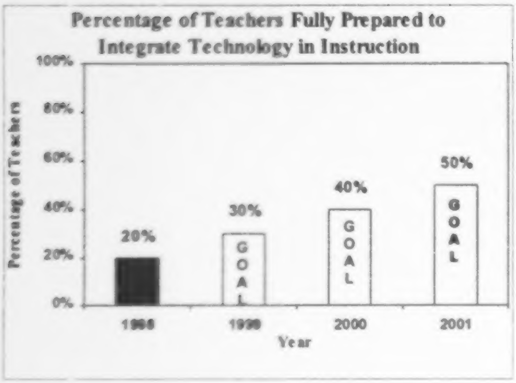
Figure 1.7.e.1



**Source:** NCES, *Teacher Quality: A Report on the Preparation and Qualifications of Public School Teachers*, January 1999. *Frequency:* Biennial *Next Update:* January 2001 with fall 2000 data. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** The data are self-reported on feelings of preparedness rather than objective measures of teachers' actual classroom practice. The resources required, in terms of cost and burden, to regularly gather data other than self-report data on teacher preparedness for a Nationally representative sample are prohibitive. *Planned improvements:* None.

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## Indicator 1.7.f. Students will increasingly have access to educational technology in core academic subjects.

**Assessment of Progress.** No 1999 data, but positive trend toward target is likely. The benefits of computers in schools and classrooms can be multifaceted, ranging from increased student motivation to improved teacher skills and student achievement. Of key importance is the extent to which computers in classrooms serve as learning tools that improve student achievement and whether students acquire the technology literacy skills needed for the 21st century. According to the National Assessment of Educational Progress (NAEP), the use of computers in instruction has increased substantially in recent years. In 1978, 14 percent of 13-year-olds and 12 percent of 17-year-olds used computers when learning math. By 1996, these percentages increased to 54 percent and 42 percent respectively (see Figure 1.7.f.1). For writing instruction, 15 percent of students in grade 8 and 19 percent of those in grade 11 used computers in 1978; by 1996, 91 percent of grade 8 students and 96 percent of grade 11 students used computers (see Figure 1.7.f.2).

Figure 1.7.f.1

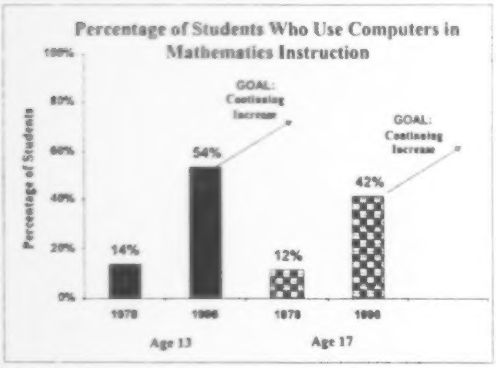
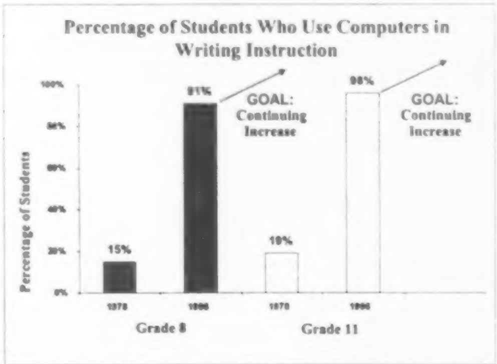


Figure 1.7.f.2



**Source:** National Assessment of Educational Progress (NAEP), 1978 and 1996. *Frequency:* Every 4 years per subject. *Next Update:* 2000 for 1999 data. **Validation procedure:** Data validated by NCES review procedures and *NCES Statistical Standards* **Limitations of data and planned improvements:** Questions yielding this data do not fully capture the extent to which computers are regularly used in classrooms to support instruction. For mathematics, NAEP asks students if they have ever studied math through computer instruction. For writing, NAEP asks students if they use a computer to write stories or papers. *Planned improvements:* None.

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## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of this Objective.** In addition to specific program initiatives, the Office of Educational Technology held a National conference in July 1999 on "Evaluating the Effectiveness of Technology," which will be followed up by a series of regional conferences starting in the summer of 2000. We are also funding work on the design of new evaluations and longitudinal studies that are National in scale, as well as the development of prototype assessment tools that incorporate the use of technology with a better understanding of the new skills that technology-using students need.

- **Technology challenge programs.** Financial support for leveraging state and local initiatives for effective use of educational technology.
  - Through the Technology Literacy Challenge Fund (TLCF), support grants to local districts to expand efforts to train teachers, purchase computers, connect classrooms to the Internet, and acquire, where necessary, high-quality educational software and online learning resources.
  - Encourage states and local districts to devote at least 30 percent of their TLCF allocations to provide training and support to enable teachers to use technology efficiently in their classrooms.
  - Provide evaluation tools and encourage states and districts to evaluate progress toward achieving the four National education technology goals and to evaluate the impact of education technology on student achievement.
  - Use the Technology Innovation Challenge Grants appropriation to continue and expand partnerships among educators, business and industry, and other community organizations to develop and demonstrate innovative applications of technology for effective use in the classroom. Build on the successes and lessons learned from this program and the Star Schools program in the Next Generation Technology Innovation program proposed to replace it.
- **Teacher preparation for 21st century classrooms.**
  - Use the Preparing Teachers to Use Technology program to make grants to teachers' colleges, other educational organizations, and consortia to help ensure that prospective teachers are prepared to integrate technology effectively into teaching when they enter the classroom.
  - Encourage states to adopt technology standards that are included in the teacher certification and recertification process. Encourage higher education institutions to partner with the private sector to integrate educational technology into preservice teacher preparation.
- **Technology connections, especially for high-poverty urban and rural schools and communities.**
  - Encourage schools to greatly expand their use of technology through the E-rate, or Universal Service Program, created under the Telecommunications Act of 1996.
  - Use funding for the Community Technology Centers initiative to address disparities in home access to educational technology by providing increased access to computers for students and adults in high-poverty urban and rural communities.
- **Research and development.**
  - Use the Interagency Education Research Initiative (IERI) to focus on the use of technology to promote improvements in teaching and learning targeted to early reading, English language literacy, and elementary mathematics and science.
  - Support the development of next generation learning technologies through the proposed Next Generation Technology Innovation Program, which would provide funding for expanding knowledge about and developing new applications of educational technology and telecommunications for improving teaching and learning.

## How We Coordinate with Other Federal Agencies

The Department of Education (ED) recognizes that, in addition to its oversight of the many Department programs described above, assistance and support from other Federal agencies is also important.

**Increase school and community access to educational technology.** The Department is cooperating with numerous agencies on an ongoing basis and encouraging the effective use of technology. ED is cooperating in this area with the White House National Economic Council, the White House Office of Science and Technology Policy, the Department of Commerce, the Department of Labor, and the Department of Housing and Urban Development.

**Improve data collection.** The Department provides support for the Census Bureau's Current Population Survey (CPS) to make possible the inclusion of questions on computer and Internet access at home.

**Encourage research.** The Department, the National Science Foundation, and the National Institute of Child Health and Human Development jointly fund an interagency research initiative that focuses on the use of information and computer technologies in improving school readiness for reading and mathematics, initial teaching of reading and mathematics, and teacher preparation in reading, mathematics, and science. With the National Science Foundation, the Department cosponsored a study of educational technology and instructional practice.

**Increase Internet access**. The Department collaborates with the Schools and Libraries Division at the Federal Communications Commission for effective implementation of the Universal Service rate for educational access for schools and libraries (the E-rate).

## Challenges to Achieving Our Objective

The digital divide between low- and high-poverty schools is closing slowly, but the digital divide between low- and high-income homes is larger than that between schools—and it persists. Lack of access to and use of computers in the home for children of low-income families exacerbates inequalities stemming from lower rates of access to computers in high-poverty schools.

Although the recent GAO report *Telecommunications Technology: Federal Funding for Schools and Libraries* found no duplication among Department programs, we believe that a continued focus on strengthening the focus on equity, professional development, and effective implementation among the various educational technology programs within the Department is needed. In particular, given the rising level of interest in online advanced placement courses and online postsecondary degree programs, stronger connections are needed between the K-12 and postsecondary education communities in the area of distance learning. The Office of Educational Technology meets on a regular basis with all relevant program offices to ensure that connections are made and continuity is maintained.

# Goal 2. Build a solid foundation for learning for all children.

In its pursuit of educational improvement, the Department of Education (ED) concentrates on two interrelated aims: excellence and equity. As part of this effort, we have identified several areas that must be addressed to build a solid foundation of learning for all children. One essential element is to ensure that students meet high academic standards at key transition points in their educational journey. In addition, we must ensure that students with special needs not only have those needs addressed, but also are held to high academic standards. They, along with other students, must benefit from the emphasis on excellence. In this way, all students will be prepared for productive employment, further education, and full democratic participation. We can achieve this goal by ensuring that the following four objectives are met:

**Objective 2.1: All children enter school ready to learn.** Research has made clear that children's early experiences have a profound effect on long-term learning. Moreover, children are more likely to be successful in school if they arrive well prepared. A high-quality early childhood education is especially crucial for children with special needs.

**Objective 2.2: Every child reads well and independently by the end of the third grade.** Besides being an important skill in its own right, reading is the foundation for all later academic learning.

**Objective 2.3: Every eighth-grader masters challenging mathematics, including the foundations of algebra and geometry.** Mathematics is an essential skill as well as the entree to learning science and technology. Moving to more advanced mathematics before high school is often a key to higher academic achievement, particularly for disadvantaged students.

**Objective 2.4: Special populations participate in appropriate services and assessments consistent with high standards.** If all children are to attain excellence, students with special needs must receive extra support. Our measure of success must be defined in terms of their academic achievement, as well as the performance of students overall.

To address these key areas, we must pursue strategies such as improved professional development, cooperation with state and local efforts to implement high academic standards and linked assessments, and financial support for innovative approaches to assist children with special needs. The Department of Education seeks to promote these strategies through its reauthorization proposal to strengthen Federal elementary and secondary programs and through its ongoing monitoring, guidance, and leadership.

## Objective 2.1: All children enter school ready to learn.

### National Need

**National Concerns.** Supporting parents in their preparation of children for school is important to building a solid learning foundation. Children's early childhood experiences are critical in fostering emergent literacy. Research shows that parents' reading to their children enhances children's language development. Furthermore, research on early brain development reveals that children who start having learning experiences early are more likely to be successful at learning when they are older. Children who enter school ready to learn are more likely to achieve high standards than children who are inadequately prepared. High-quality early childhood programs are particularly important for children from families with limited education and for children with disabilities. As much of the work with young children happens outside of ED, the Department has worked to create effective collaborative strategies across departments and agencies to enable students to enter school ready to learn.

**Our Role.** Federal programs that serve young children and their families, such as Head Start (including Early Head Start), Even Start, Individuals with Disabilities Education Act (IDEA) Grants for Infants and Toddlers, Preschool Grants, and Title I, Part A, can help to accomplish this objective. Through the America Reads Challenge, ED supports and encourages parents to read and talk to their children and include other practices to increase children's language development in their daily child care routine. States also provide important preschool services for children. Additionally, ED provides leadership in early childhood education by supporting and disseminating research-based knowledge of effective policies and practices.

- Head Start provides comprehensive development services for low-income children ages 3 to 5 and social services for their families to prepare children to enter school ready to learn.
- Even Start provides low-income families with early childhood, adult, and parent education in order to achieve its objective to break the cycle of poverty and illiteracy and help low-income children start school prepared to learn.
- IDEA Grants for Infants and Toddlers provides early intervention services for infants and toddlers with disabilities and their families in order to help children enter school ready to learn, and IDEA Preschool Grants Program provides a free appropriate public education to 3-, 4-, and 5-year-old children with disabilities.
- Title I, Part A funds can be used for early learning programs. Title I served about 260,000 preschool children in 1996-97.

### Our Performance

**How We Measure.** Performance indicators for this objective track access to learning activities for children before kindergarten.

### Indicator 2.1.a. Kindergarten and first-grade teachers will increasingly report that their students enter school ready to learn reading and math.

**Assessment of Progress.** The Early Childhood Longitudinal Study found that 82 percent of children enter kindergarten with print familiarity skills, such as knowing that print reads from left to right. As children enter kindergarten for the first time, 66 percent pass reading proficiency level one (recognizing their letters); 29 percent pass level two (beginning sounds); 17 percent pass level three (ending sounds); 2 percent pass level four (sight words); and 1 percent pass level five (words in context) (table 5). The

Planning and Evaluation Service plans to provide updates for this indicator through a teacher report survey or possibly direct assessments of children, aligned with outcome measures used by Even Start and Head Start.

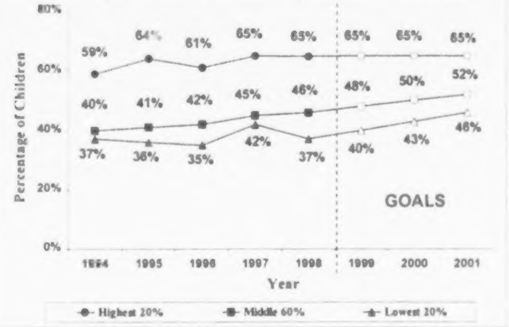
**Source:** National Center for Education Statistics (NCES), Early Childhood Longitudinal Study; Kindergarten Cohort. 2000. *Frequency:* Occasional. *Next Update:* Survey being planned. **Validation procedure**: Data will be validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of the data and planned improvements**: The ECLS data are longitudinal; no follow-up data collected on subsequent cohorts of children entering kindergarten through this study are planned at this time. In addition, a more accurate measure of progress toward this objective would be a direct assessment of children upon entering kindergarten, rather than teacher judgment.

## Indicator 2.1.b. The disparity in preschool participation rates between children from high-income families and children from low-income families will become increasingly smaller.

**Assessment of Progress.** While there was a slight upward trend in preschool participation rates for the high and middle income levels from 1994 to 1998, the rate of preschool participation for low-income children essentially remained the same. Thus, the gap in preschool participation between high- and low-income children increased from 1994 to 1998. The gap between high- and middle/low-income has not changed. This indicator measures the gap in the rates of preschool participation between children of different income levels. Given the disadvantage with which low-income children enter school, greater access to preschool could help close the gap before children even enter kindergarten.

Figure 2.1.b.1

**Preschool Participation of Children From Low-, Middle-, and High-Income Families, by Income Percentile**



**Source:** U.S. Department of Commerce, Bureau of the Census, Current Population Survey, unpublished tabulations. *Frequency:* Annual. *Next Update:* 1999. **Validation procedure**: Data validated by the Bureau of the Census' review procedures. **Limitations of the data and planned improvements:** No known limitations.

## Indicator 2.1.c. The percentage of 3- to 5-year-olds whose parents read to them or tell them stories regularly will continuously increase.

**Assessment of Progress.** Reading to children helps them build their vocabularies, an important factor in school success. Thus, frequent reading by parents to their children is an important activity in preparing children for school. Only two-thirds of preschoolers were read to or told stories regularly in 1993 (see Figure 2.1.c.1). By 1996, the proportion of preschoolers whose parents read to them or told them stories regularly had increased to 72 percent. In 1999, however, the figure was reduced to 69 percent.

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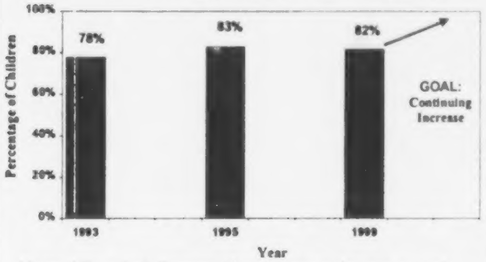
Figure 2.1.c.1

**Percentage of 3 to 5 Year-Olds Whose Parents Report Reading or Telling Stories To Them Regularly**



**Note:** "Regularly" means three or more times per week.

**Source:** National Center for Education Statistics (NCES), National Household Education Survey, 1993, 1996, 1999. *Frequency:* Every 3 years. *Next Update:* 2002. **Validation procedure**: Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** No known limitations.

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## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of This Objective.** ED has five primary strategies to achieve the objective of ensuring that all children enter school ready to learn: providing financial support for children with disabilities and children who are educationally disadvantaged to assist with their early educational development; providing leadership by developing and disseminating research-based knowledge; promoting and supporting the improvement of early childhood education programs within the Department; improving and increasing coordination, collaboration, and communication with other government departments and agencies; and disseminating and promoting information pertaining to early childhood learning and development.

- **Provide financial support for children who are educationally disadvantaged or have disabilities.** ED has requested funds to assist children with special needs with their educational development. For the Even Start program, ED requested $150 million for FY 2001 that would support projects providing early childhood education, adult education, and parenting instruction to help prepare disadvantaged children to enter school ready to learn. ED requested $384 million for 2001 for the Special Education Grants for Infants and Toddlers program to expand the numbers of children and families served, increase the focus on providing services in natural environments, and improve the scope and quality of early intervention services for children with disabilities from birth through age 2 and their families. In addition to the $5.3 billion requested for Special Education Grants to States that focus on children with disabilities, ages 3 through 21, $390 million requested for the Special Education Preschool Grants program. This program is intended to assist states to provide appropriate special education and related services to help ensure that 3- to 5-year-old children with disabilities enter school ready to learn. Furthermore, ED intends to continue funding the research and development activities of the National Institute on Early Childhood Development and Education, which include supporting the National Center for Early Development and Learning at the University of North Carolina at Chapel Hill. In 1996-97, Title I, Part A also served about 260, 000 preschool-aged children.

- **Provide leadership through the development and dissemination of research-based knowledge.** ED has worked to support the implementation of good practices based on new knowledge of brain development, early intervention, and high-quality nurturing. To further this effort, ED is supporting the Interagency Education Research Initiative to conduct joint research with the National Science

Foundation (NSF) and the National Institute of Child Health and Human Development (NICHD) on school readiness-related issues. ED has also developed a coordinated research agenda through the interagency Early Childhood Research Working Group convened by the National Institute on Early Childhood Development and Education. In addition to Department of Education representatives, this group includes representatives from the National Institutes of Health, Head Start, the Department of Agriculture, the Child Care Bureau, and the Bureau of Indian Affairs. ED is supporting a National Research Council study on early childhood pedagogy that will identify what children between the ages of 2 and 5 should know in order to do well in school. This report, which is expected to be released in the spring of 2000, will be followed by a summit hosted by the Department to help state educators integrate the findings in work practices and policies. Additionally, ED is in the process of developing a comprehensive information system for early childhood education, including a compilation of how state funds are used to support preschool services. ED will continue to support the Office of Special Education programs' early childhood research institutes. ED will also disseminate information from the Early Childhood Longitudinal Study.

- **Support evaluation and continuous improvement of ED's early childhood education programs.** The Department will facilitate and assess approaches to continuous program improvement in Even Start projects based on clear outcome goals for children and families, program quality standards, rigorous and objective assessment of program results, and the use of evaluation results to monitor progress and enhance program quality. In this effort, ED will help Even Start projects to set appropriate performance goals and measure progress accordingly. ED will provide assistance to projects to conceptualize progress indicators for the entire Even Start age range. Additionally, ED will strengthen monitoring and assistance in early childhood education programs for children with disabilities to focus on identifying areas in need of improvement and good practices. ED will realign the national evaluation of Even Start's data collection system to reflect data collections of other early childhood programs such as Head Start, as well as other large-scale studies of young children and their families such as the Early Childhood Longitudinal Study. The redesigned version of the Even Start National Evaluation will be used to frame a study of Title I preschool.

- **Promote literacy in early childhood programs.** ED will identify Even Start projects with promising research-based early reading components based upon criteria ED is developing on what high-quality early reading programs look like. This work will culminate in a guide of best practices in early reading as well as data collection on how the promising programs compare to Even Start sites chosen for ED's Even Start experimental design study.

- **Work to improve department and agency collaboration and coordination.** Through the America Reads Challenge and the Reading Excellence Act Program, ED provides technical assistance for tutoring programs working with all children, including children from low-income families, children with limited English proficiency, or children with disabilities. The America Reads Challenge collaborates with the Office of Student Financial Assistance Programs to coordinate Federal Work Study reading tutors. Members of the Department's staff have collaborated with Head Start in the development of materials to encourage early childhood professionals to use the arts as a learning vehicle. Several ED offices, along with Head Start, are developing joint funding strategies to increase early literacy and language skills in young children at risk for reading failure. Within the Department, America Reads is working with the Office of Vocational and Adult Education, Even Start, the Early Childhood Institute, the National Institute for Literacy, and the contractor Teaching Strategies on *The Family Literacy Picture Book*, designed to help parents, caregivers, and teachers assist children ages birth to 5 in developing listening, speaking, reading, and writing skills. Additionally, ED is responsible for operations of the Federal Interagency Coordinating Council (FICC), which has developed a 3-year strategic plan to improve coordination among agencies and departments involved in early childhood education policy and program implementation related to children with disabilities from birth through age 5.

## How We Coordinate with Other Federal Agencies

- **Cross-agency coordination of early childhood programs, services, and research.** In response to a request from Senator George Voinovich, representatives from ED and the Department of Health and Human Services (HHS) have formed a task force committed to increasing collaboration between the two agencies in the area of early childhood programs and services. The task force will determine how to improve current collaborations between the two agencies as well as the most effective areas of partnership for future collaboration. (See "Challenges" section below.)

- **Interagency research collaboration and sharing of research-based knowledge.** ED has been involved in the interagency Early Childhood Research Working Group convened by the National Institute on Early Childhood Development and Education to share research-based information about young children and their families and to provide opportunities for interagency research collaboration. ED has used the findings from this exchange, such as the information provided by the National Institute of Child Health and Human Development (NICHD) on language and literacy development, to improve programs across Federal departments. This exchange has facilitated collaboration by making Federal legislation among programs compatible and encouraging interagency agreements at the state level. It has also helped ED and its partner agencies examine how collaborative efforts are evolving at the state and local levels.

- **Research and programmatic initiatives focusing on school readiness.** ED has continued working with NSF and NICHD on the interagency research initiative that will focus on school readiness. Through its involvement in the Children's Health Insurance Program (CHIP), ED has worked with the White House, HHS, and other Federal agencies to conduct outreach to educators and families about the availability of free and low-cost insurance for children which will help them start school healthy. ED will collaborate with the National Academy of Sciences (NAS) to support dissemination of the findings of the NAS study on early childhood pedagogy. This effort extends from the agencies' successful collaborative outreach and dissemination of the NAS study *Preventing Reading Difficulties in Young Children*. Additionally, ED has used the Federal Interagency Coordinating Council (FICC) to improve collaboration and coordination strategies for children with disabilities and their families.

## Challenges to Achieving Our Objective

Much of the work done with young children—for example, through the Head Start program in HHS and state-sponsored preschool programs—is outside the purview of ED. ED will continue to collaborate with Head Start and provide leadership in aligning standards used in all early childhood programs. ED also needs to encourage states to adopt sound policies and practices in the programs they support in early childhood education. Additionally, in many cultures in the United States, parents feel that it is inappropriate to send young children out of the home for preschool. ED will continue to work to reach parents in an effort to provide them with better strategies for preparing their children to start school ready to learn.

The 1999 General Accounting Office report *Results Act: Using Agency Performance Plans to Oversee Early Childhood Programs* identified coordination between ED and the Department of Health and Human

Services' early childhood programs as an area for improvement. ED is responding by forming a joint task force with HHS to work on strengthening collaboration between the two agencies. A particular focus of this work is on performance measures. ED and HHS will work toward sharing common outcome indicators and measures for programs. This work will guide ED in developing indicators and measures for Title I preschool as well.

## Objective 2.2: Every child reads well and independently by the end of the third grade.

### National Need

**National Concerns.** Reading is the foundation of all other skills essential for learning, yet the 1998 National Assessment of Educational Progress (NAEP) reports that only 62 percent of fourth-graders read at the basic level or higher. Research shows that students who fail to read well by fourth grade are at greater risk of educational failure. Mastering basic skills such as reading are essential first steps to reaching challenging academic standards in all subjects.

**Our Role.** The Department of Education's Federal resources are used to help states, local school districts, and schools improve the teaching and learning of reading for high-poverty children in early childhood programs and for at-risk school children in kindergarten through high school; support special populations that experience difficulties in reading; coordinate and promote research-based reading instruction and strategies; and expand community-wide extended learning time programs in reading. This improvement is accomplished through many programs, including Title I, Even Start, and the Reading Excellence Program, and through other programs for special populations such as Special Education.

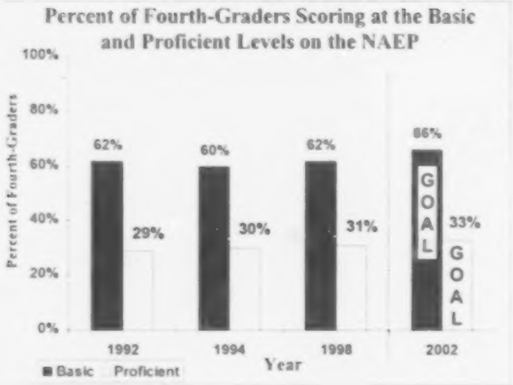
### Our Performance

**How We Measure.** ED measures its progress by focusing on expected outcomes in student achievement in reading, as well as indicators that track the implementation of recent programs to advance these outcomes.

### Indicator 2.2.a. Increasing percentages of fourth-grade students will meet basic and proficient levels in reading on the National Assessment of Educational Progress (NAEP). By 2002, 66 percent of fourth-grade students will score at or above the basic level in reading on the NAEP, and 32 percent of fourth grade students will score at or above the proficient level in reading on the NAEP.

**Assessment of Progress.** No overall change, but trend toward target for high-poverty schools. Since the 1970's, NAEP scores for fourth-graders have been relatively flat (around 60 percent at basic or higher levels). These statistics are disturbing because they indicate that around 40 percent of the fourth-grade population continues to have difficulty reading at the basic level of proficiency (see Figure 2.2.a.1). While students in low-poverty schools improved their reading scores from 1988 to 1996, scores of students in high-poverty schools have begun improving only since 1992 (see Figure B.1 in the *End Outcomes* section of this report).

Figure 2.2.a.1



**Source:** NAEP (1992-present). *Frequency:* Every four years. *Next Update:* 2002. **Validation procedure:** Data are validated by NCES review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** NAEP data are not available annually. They are or will be available for 1994, 1998, and 2002.

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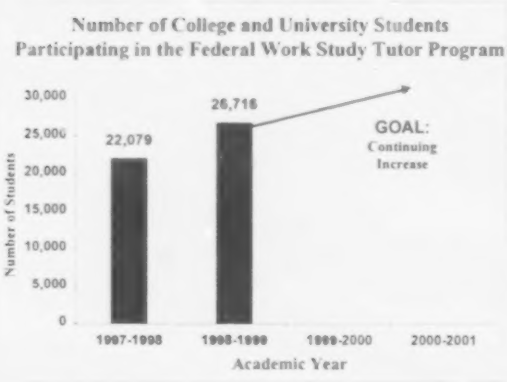
## Indicator 2.2.b. By 2001, increasing numbers of postsecondary students will be employed as America Reads tutors through the Federal Work Study Program.

**Assessment of Progress.** Progress toward target. On July 1, 1997, the Department of Education encouraged Federal Work Study (FWS) students to serve as reading tutors by waiving the requirement that employers pay part of their wages. In October 1998, the president declared that, starting in the 2000-01 award year, every postsecondary institution with a Federal Work Study program must use at least 7 percent of the sum of its initial and supplemental FWS allocations in an award year to compensate students employed in community service activities. As part of the community service requirement, postsecondary institutions must have a literacy tutoring program. During the 1998-99 academic year, 26,716 postsecondary students were employed as reading tutors through the Federal Work Study program (see Figure 2.2.b.1).

Figure 2.2.b.1



**Source:** ED Fiscal Operations Report and Application to Participate, 1998. *Frequency:* Annual. *Next Update:* 1999 data will become available in 2000. **Validation procedure:** Data are reviewed by ED staff. **Limitations of data and planned improvements:** No known limitations.

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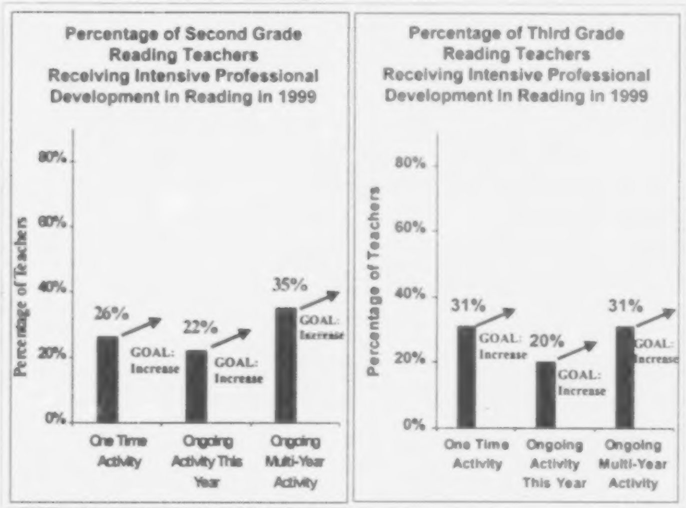
## Indicator 2.2.c. Increasing percentages of teachers of students in kindergarten through third grade will receive ongoing, intensive professional development to enable them to successfully teach reading to diverse students, including those who experience difficulties in learning to read and those with disabilities.

**Assessment of Progress.** Unable to judge progress, as data are available for one year only.

Figure 2.2.c.1



**Source:** National Longitudinal Survey of Schools (NLSS) (1999). *Frequency:* Annual. *Next Update:* 2000. **Validation procedure:** Data are validated by NCES review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** NLSS data are currently available for second and third grade teachers only. Data are collected from teachers in schools that include a third grade and who teach each of these grades "most of the time." Data for kindergarten and first grade teachers have been requested in future years.

## Indicator 2.2.d. Increasing numbers of children participating in Head Start, Even Start, and Title I programs will make significant gains on measures of language development and reading readiness so they are well prepared for grade-appropriate reading instruction.

**Assessment of Progress.** Data from the National Research Council show that preparation for school—at home and in early childhood programs—is essential to the performance of children in reading. This new indicator will track progress in this area.

**Source:** To be developed. *Frequency:* To be developed. *Next Update:* To be developed. **Validation procedure:** N/A. **Limitations of data and planned improvements:** N/A. While some data are available from the National Even Start Evaluation (1995-96) on the performance of children in school readiness and language development, there is currently no comparable assessment that can provide trend data for this indicator. Furthermore, no current data are available on pre-K Title I or Head Start student performance. The Department is discussing an early childhood study that would provide these data in future years.

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## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of This Objective.**

- **Support improved in-class instruction in reading using research-based reading strategies.** Multiple Department programs support research-based instruction in reading for high-poverty and at-risk student populations from early childhood through high school, including Title I, Even Start, Reading Excellence, Special Education, and Bilingual Education programs. These programs focus on improving teaching and learning by upgrading curriculum, accelerating instruction, and providing teachers with professional development to teach to high standards.

- **Support public understanding of best practices for early childhood language development and acquisition**. The Department disseminates quality early literacy materials to childcare professionals and is partnering with Even Start and Head Start literacy programs and Ready to Learn Television to increase community efforts to enhance language acquisition and development for all young children. In FY 2000, Congress provided $150 million to Even Start to support family literacy projects for children from birth through age 7. Additionally, the Department is providing joint funding with the National Academy of Sciences to produce a report on early childhood pedagogy, which is expected to be released in May 2000. During June 2000, the Department will host a summit on early childhood development based on the findings of the study.

- **Support community-wide extended learning time programs dedicated to improving literacy**. The Department continues to expand and strengthen the America Reads Federal Work Study tutor program. Each postsecondary institution that receives Federal financial aid is now required to have an America Reads or America Counts Federal Work Study tutor program component. To date, more than 1,200 postsecondary institutions have joined the America Reads Challenge. In March 2000, the Department is cosponsoring a conference, "Tutoring Programs for Struggling Readers: The America Reads Challenge," with the Rutgers Graduate School of Education, with an expected attendance of 300 participants.

- **Support in-service and preservice teacher development.** The Department's Title I, Reading Excellence, Even Start, and Bilingual programs provide teachers with high-quality professional development to teach to high standards. To meet the needs of an increasing limited English proficient (LEP) student population, America Reads is developing instructional materials on basic knowledge needed by teachers and administrators who work with LEP children.

- **Promote and coordinate research and evaluation pertaining to children's literacy.** The Reading Excellence Program is conducting multiple studies targeted to identify the path of reading skill acquisition and effective practices in teaching reading. Planning and Evaluation Services is conducting an evaluation of the role of family involvement in supporting in-school reading interventions with targeted at-home reading, through the Compact for Reading initiative. The Department, with the National Academy of Sciences, is funding a study on effective practices in the teaching of reading to children in early childhood, followed by a summit on early childhood pedagogy. The Office of Bilingual Education and Minority Languages Affairs (OBEMLA) is conducting a two-year study to identify phonemic and comprehension skills that transfer from Spanish to English to help Spanish-speaking LEP students who learned to read in Spanish. OBEMLA is also participating in a National Institute Reading Study, "The Development of English Literacy in Spanish-Speaking Children." The Office of Vocational and Adult Education (OVAE) will continue to provide support for research efforts that investigate the effectiveness of adult education as an approach to reducing welfare dependency and improving children's educational progress.

- **Support community building and collaboration to improve literacy for our Nation's children**. In partnership with the *Los Angeles Times* and Little Planet Learning, the Planning and Evaluation Service produced and is disseminating the *Compact for Reading Guide*, a publication that explains how high-poverty schools can develop an effective written agreement among families of at-risk children, teachers, principals, and students in the community to help improve the reading skills of all students, as well as how to implement compacts through family involvement in reading. Working with a team of teachers, the Department developed the School-Home Links Kit, which includes 100 1-page reading activities for each grade from kindergarten through third. Teachers use the School-Home Links to reinforce in-school reading activities through family involvement.

  The Department has also partnered with McDonald's to implement and distribute *Raising Great Readers*, a booklet that includés tips for parents on how to make reading a daily, fun activity with their children. Through a collaboration with the American Library Association, Reading is Fundamental, Inc., Pizza Hut, and Scholastic Inc., the Department developed and will continue distributing Read*Write*Now! activity posters, which include reproducible reading and writing activities to help tutors, educators, and community members help all children improve their reading skills. Two and a half million posters were printed in English, and 250,000 were printed in Spanish. The Department has also developed and will continue to distribute the Read*Write*Now! tip sheet, which offers ideas and suggestions for librarians, teachers, camp counselors, and community leaders on how to design and implement a summer or after-school reading program.

The America Reads office will continue to expand and strengthen relationships with public and private sector organizations committed to improving literacy for all children. Within the Department, the Even Start Agency Cooperation and Collaboration Project, Building State Alliance for Family Literacy, provides support for technical assistance to states developing strategies for improving collaboration in local Even Start projects. Finally, the America Reads Web site provides a listing of the coalition partners as well as information for our customers on best services to improve reading for our Nation.

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## How We Coordinate with Other Federal Agencies

- **Monthly interagency meetings.** Department representatives meet monthly with staff from the Corporation for National Service (CNS) as well as representatives from the National Institute for Literacy (NIFL) and the Reading Is Fundamental (RIF) program to strengthen collaborative efforts in improving children's reading skills.

- **Joint task forces.** The Department of Education and the Department of Health and Human Services have formed a joint task force to increase collaboration and coordination of services to children in early childhood; a report will be issued to Congress in March 2000. As part of this initiative, the two agencies will facilitate the community collaboration of HHS- and ED-funded activities for reading and early childhood development. They will jointly disseminate reading publications on early childhood.

- **Coordination of research.** The Department is collaborating with the National Academy of Sciences on their study examining early childhood pedagogy, with findings disseminated in the spring of 2000.

- **Interagency training.** The Department will collaborate with the U.S. Army and the Bureau of Indian Affairs to improve extended learning programs in reading. The Department will continue to help train Army staff directors to use America Reads Challenge Read*Write*Now! interventions and materials in the Army's extended learning programs. The Department of Education will work with the Department of the Interior's Bureau of Indian Affairs schools to encourage extended learning in reading programs that support the America Reads Challenge.

## Challenges to Achieving Our Objective

Increasing the reading skills of American children depends not only on improving classroom instruction, but also on encouraging parents to take a more active role in their children's reading from early childhood onward. Postsecondary schools must have access to the most recent research for professional development courses in the teaching and learning of reading. Getting this information out to postsecondary institutions that prepare teachers for the classroom and to teachers already in classrooms remains a challenge. The Reading Excellence Act provides important new support to strengthen reading at home and in school. Furthermore, the Department's research and dissemination efforts, as well as special program activities in reading, will further support and strengthen teacher preparation as well as school and home activities in reading.

# Objective 2.3: Every eighth-grader masters challenging mathematics, including the foundations of algebra and geometry.

## National Need

**National Concerns.** To be prepared for postsecondary study and promising careers, students need to master advanced skills in mathematics, science, and technology. Mathematics also teaches ways of thinking that apply in the workplace and are essential for informed civic participation. Yet far too many students finish high school without mastering the mathematics necessary for success in either higher education or our competitive knowledge-based economy. U.S. fourth-graders perform above the international average, but mathematical performance begins to decline in the middle grades, and U.S. students perform significantly below the international average by the end of secondary school (Third International Mathematics and Science Study (TIMSS), 1997, 1998). Moreover, although the curriculum in the United States is broader than in higher performing countries, it lacks their depth.

Increasing the number of highly qualified teachers across the Nation is critical to improving student achievement in mathematics. Unfortunately, many mathematics teachers today lack the appropriate credentials and licensure for the subjects they teach, and many of those who are appropriately certified are under-prepared in their disciplines. U.S. teachers also have less time for planning, reflecting on their teaching strategies, and using other teachers as resources. Future teacher shortages—especially in mathematics—and student population growth are likely to exacerbate these problems.

**Our Role.** The Department of Education's Federal resources are used to help states, local school districts, and schools improve teaching, upgrade curriculum, integrate technology and high-quality instructional materials into the classroom, and motivate students to help them understand how mathematical concepts are applied in today's global workplace. This is accomplished through *America Counts*, a Department-wide mathematics initiative, and a variety of programs, including the Elementary and Secondary Education Act (ESEA) Title I and Title II and the Higher Education Act (HEA) Title II, among others, which give a blend of formula and competitive grants to

- Equip teachers to teach challenging mathematics content in effective ways, with high expectations for their students;
- Provide personal attention and additional learning time for students;
- Support high-quality research to inform best practices of mathematics teaching and learning;
- Build public understanding of the mathematics today's students must master;
- Encourage a challenging and engaging curriculum for all students; and
- Promote the coordinated and effective use of Federal, state, and local resources.

Synergy with other Federal agencies guides the work of the Department to strengthen the impact of Federal resources on mathematics education nationwide.

## Our Performance

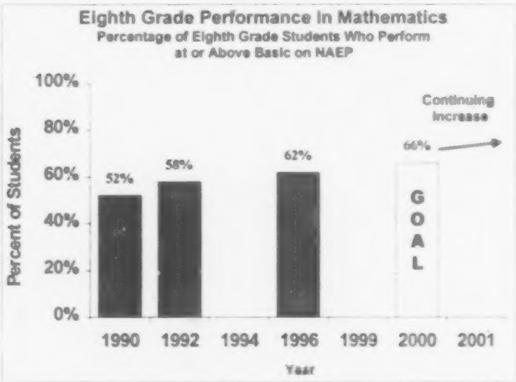
**How We Measure.** The Department is assessing progress toward this objective by monitoring national trends in student achievement in mathematics, teacher preparation and ongoing professional development, and schools' access to and use of information on best practices for mathematics instruction.

## Indicator 2.3.a. Increasing percentages of eighth-graders reaching the basic, proficient, and advanced levels in math on the National Assessment of Educational Progress. On international assessments, at least 50 percent will score at the international average by 1999.

**Assessment of Progress.** 1999 data from the main data sources are not available, but other sources show a positive trend toward the 2000 targets. U.S. students have shown progress in their mathematics achievement on the National Assessment of Educational Progress (NAEP) since 1990, yet many still fail to achieve the high standards needed for future success in both education and work. The last data from NAEP, in 1996, show that 62 percent of students scored at or above the basic level on NAEP compared with 52 percent in 1990. Much smaller percentages of students perform at the proficient or advanced levels. By 2000, if current trends continue, we expect that 66 percent of eighth-graders will perform at or above basic on NAEP, and we expect a continuing increase in 2001, although no data are being collected for that year.

Since NAEP data are only available every four years, we are also reporting state assessment data, which are available annually, as another measure of student progress in mathematics. These data show moderate student progress in mathematics. On state assessments, eighth graders in 8 of 11 states (that had comparable assessments for 2 years for grade eight and reported by performance level) made varying levels of forward progress in mathematics between 1996 and 1998.

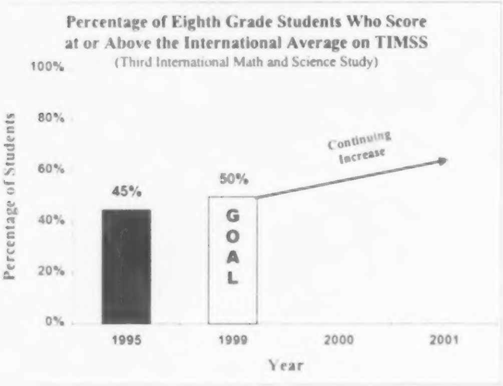
Figure 2.3.a.1



**Source:** NAEP, 1990, 1992, 1996 Mathematics Assessment. *Frequency:* Every 4 years for NAEP. *Next Update:* The NAEP assessment will be given again in 2000 and the data will be available in 2001. **Validation procedure:** Data validated by NCES review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** The TIMSS international average will vary depending on which nations participate in the study. Therefore, a special average will be computed for those nations that participated in both the 1995 and 1999 assessments.

**Assessment of Progress.** Although U.S. fourth graders performed above the international average in math, our eighth-graders and twelve-graders scored below the international average. Our 1999 goal is for 50 percent of eighth graders to score at or above the international average on TIMSS. We expect improvement in U.S. students' test scores because there has been an increased effort to improve the mathematics curriculum in the middle grades throughout the country. The next update in 2001 will show U.S. performance compared with a core set of countries in both 1995 and 1999.

Figure 2.3.a.2

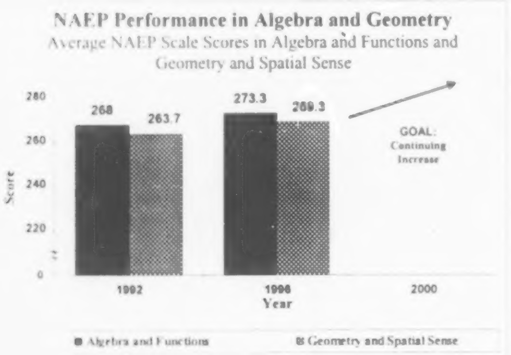


**Source:** The Third International Mathematics and Science Study (TIMSS), 1995 eighth-grade Assessment. *Frequency:* TIMSS does not have a regular assessment cycle. *Next Update:* The TIMSS replication took place in the spring of 1999 and the results will be available in early 2001. **Validation procedure:** Data validated by NCES review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** The TIMSS international average will vary depending on which nations participate in the study. Therefore, a special average will be computed for those nations that participated in both the 1995 and 1999 assessments.

## Indicator 2.3.b. Each year more students will have a solid foundation in algebra and geometry by the end of eighth grade.

**Assessment of Progress.** 1999 data are not yet available, but there is a positive trend toward the target. Understanding basic concepts in algebra and geometry is a prerequisite for most higher-level mathematics courses. Many states and districts have realized the importance of early exposure to these topics and have increased their mathematics requirements for middle and high school students. An increasing number of students are taking algebra, geometry, or other courses that include a focus on the fundamentals of algebra and geometry. For instance, NAEP data show that 25 percent of eighth graders in 1996 took an algebra course, compared with 20 percent in 1992.

Figure 2.3.b.1



**Source:** National Assessment of Educational Progress (NAEP), 1990, 1992, 1996 Mathematics Assessment. *Frequency:* Every 4 years. *Next Update*: The NAEP assessment will be given again in 2000, and the data will be available in 2001. **Validation procedure**: Data validated by NCES review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** These data represent performance on NAEP's subset of questions in algebra and geometry and may not represent what other sources consider to be the fundamental principles of algebra and geometry.

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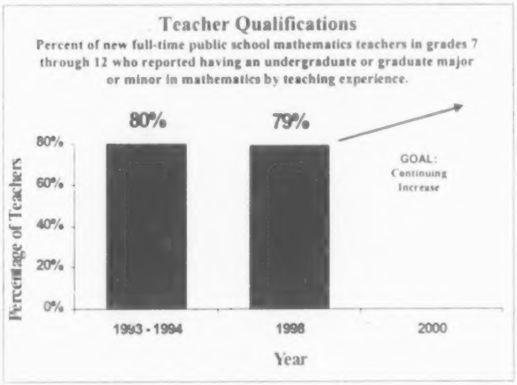
## Indicator 2.3.c. Each year, more new teachers will enter the workforce with adequate preparation to teach challenging mathematics to students in kindergarten through 12th grade.

**Assessment of Progress.** No 1999 data are available, but data from earlier years suggest no change. It is not surprising that there has been little change in this indicator, as few states and districts have attempted to seriously upgrade the mathematics content or pedagogical knowledge of their new teachers. One hypothesis is that it is difficult for states and districts to increase requirements for new teachers at a time when many face teacher shortages. Still, there is reason for guarded optimism that these data measures may improve, because more national and state policies are starting to focus on increasing requirements for new teachers (e.g., more stringent degree requirements, higher scores on standardized tests). See Figure 2.3.c.1.

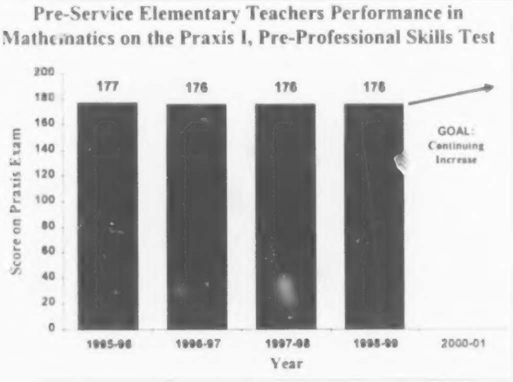
Figure 2.3.c.1


**Teacher Qualifications**

**Percent of new full-time public school mathematics teachers in grades 7 through 12 who reported having an undergraduate or graduate major or minor in mathematics by teaching experience.**

**Source:** ***Schools and Staffing Survey*** (SASS), 1993-94; *Teacher Quality: A Report on Teacher Preparation and Qualifications of Public School Teachers*, 1999. *Frequency:* Biennial. *Next Update:* 2000, reported February 2001. **Validation procedures:** Data validated by NCES review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** The SASS data are only for current teachers of grades 7-12 and are only one measure of teachers' content knowledge. There are no SASS data on kindergarten-sixth grade teachers or on teachers' pedagogical knowledge.

Figure 2.3.c.2


**Pre-Service Elementary Teachers Performance in Mathematics on the Praxis I, Pre-Professional Skills Test**

**Source:** Educational Testing Service (ETS), 1999, Praxis I Pre Professional Skills Test (PPST) *Frequency:* Annual. *Next Update:* Fall 2000. **Validation procedures:** Data validated by ETS quality control procedures. **Limitations of data and planned improvements:** Based on data from those 29 states that require the PPST. The PPST measures knowledge in mathematics content and pedagogy for prospective elementary school teachers in states that require this exam. The data are only for those two-thirds of preservice teachers who took the paper and pencil test and do not represent teachers who took the computer test.

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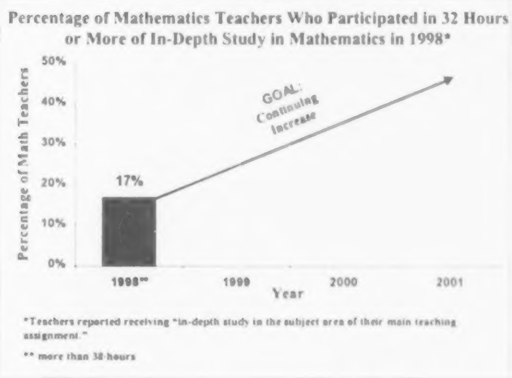
## Indicator 2.3.d. Each year, more teachers of mathematics will complete intensive professional development to enable them to teach challenging mathematics.

**Assessment of Progress.** Unable to judge increase because only one year of data is available. Only 17 percent of mathematics teachers participated in more than 32 hours of in-depth study in their main assignment field in 1998. Future data will report on elementary school teachers' participation in professional development and will report more specifically on the content of professional development.

Figure 2.3.d.1



Percentage of Mathematics Teachers Who Participated in 32 Hours or More of In-Depth Study in Mathematics in 1998*

*Teachers reported receiving "in-depth study in the subject area of their main teaching assignment."

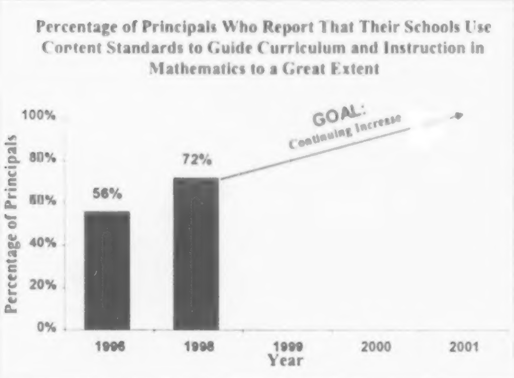
** more than 38 hours

**Source:** *Teacher Quality: A Report on the Preparation and Qualifications of Public School Teachers, 1999. Frequency:* Every 2 years. *Next Update:* 2000, reported February 2001. **Validation procedures:** Data validated by NCES review procedures and *NCES Statistical Standards.* **Limitations of data and planned improvements:** This is the first year for which the Schools and Staffing Survey (SASS) data are available, and therefore there is no trend. Data are only available for teachers whose main assignment is math, which includes few elementary school teachers. In addition, although length of professional development experience often correlates with quality, it does not measure change in teacher practice nor subsequent impact on student achievement. The next NCES Teacher Quality survey will collect data about mathematics professional development from all elementary school teachers.

## Indicator 2.3.e. Each year, increasing numbers of schools will have access to, and use, information on best practices for math content and instruction.

**Assessment of Progress.** There are no 1999 data, but significant progress was made between 1996 and 1998, making further progress in 1999 and 2000 likely. A key component of educational reform in states, districts, and schools is the implementation of challenging standards in the content areas. It is expected that as challenging mathematics content standards are implemented in schools, instruction and achievement will improve. This indicator shows improvement in the number of principals reporting the use of standards, a prerequisite for the effective implementation of standards at the classroom level.

Figure 2.3.e.1



Percentage of Principals Who Report That Their Schools Use Content Standards to Guide Curriculum and Instruction in Mathematics to a Great Extent

**Source:** 1996 data: Status of Education Reform in Public Elementary and Secondary Schools, Principals' Perspective, NCES 1998 data: School-Level Implementation of Standards-Based Reform: Findings from the Followup Public School Survey on Education Reform. *Frequency:* No regular schedule. *Next Update:* Spring 2000. **Validation procedures:** Data validated by NCES review procedures and *NCES Statistical Standards.* **Limitations of data and planned improvements:** This indicator relies on self-reported data, which may not be a completely accurate measure of teacher practice. It is also an incomplete measure of schools' use of best practices.

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## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of This Objective.** America Counts, the Department's mathematics initiative, is a multifaceted initiative that coordinates the Department's programs and its own projects to improve student achievement in mathematics. The initiative is guided by the six strategic goals outlined below. Activities are under way in each area to promote achievement of these goals.

- **Equip teachers to teach challenging mathematics through high-quality preparation and ongoing professional growth opportunities**. The Department recently created the National Commission on Mathematics and Science Teaching for the 21st Century, chaired by former Senator and astronaut John Glenn. The Glenn Commission is made up of 32 of our Nation's finest business and education leaders; public officials at the Federal, state, and local levels; and teachers of mathematics and science. The Glenn Commission will submit to Secretary of Education Richard Riley in the fall of 2000 a final report with recommendations and a corresponding action strategy for different stakeholders to improve the quality of math and science teaching in our Nation's classrooms. In addition, the Department has developed a number of professional development products and toolkits that help teachers teach challenging mathematics. A $2 million program to help implement the recommendations of the Glenn Commission has been proposed in the National Activities for the Improvement of Teaching and School Leadership FY 2001 budget request (formerly the Eisenhower Professional Development Federal Activities).

  The Department also provides funding for teacher preparation and professional development through several programs. The Administration's proposed State Grants program and the Eisenhower Regional Consortia help provide sustained, intensive, high-quality professional development for mathematics and science teachers. The Department also supports partnership programs that improve teacher preparation in mathematics and science through the Title II funds of the Higher Education Act (HEA).

- **Provide personal attention and additional learning time for students**. To encourage postsecondary institutions to support mathematics tutoring, effective July 1, 1999, the Federal government is paying 100 percent of the wages of Work Study students who serve as mathematics tutors to elementary through ninth-grade students. The Federal Work Study efforts began this past fall, and close to 300 postsecondary school campuses have currently signed on. An online roadmap is available to help campuses initiate and sustain high-quality tutoring programs. The Department has extended mathematics learning opportunities in its 21st Century Community Learning Centers and Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) programs as well. Finally, the Department has developed both *Helping Your Child Learn Math* (including a Spanish version) and *Early Childhood: Where Learning Begins--Mathematics*, two booklets that help families participate in their children's mathematical learning.

- **Support high-quality research to inform best practices of mathematics teaching and learning**. The Department and the NSF have funded the National Academy of Sciences (NAS) to conduct a Mathematics Learning Study and a Study on calculus, biology, chemistry, and physics Advanced Placement (AP) Programs. The Mathematics Learning Study is scheduled for completion in the spring of 2000, and will examine the factors that lead to successful mathematics learning and provide research-based recommendations for the improvement of mathematics teaching and learning. The AP study is scheduled for completion in 2001 and will explore whether U.S. secondary mathematics and science instruction and assessment programs help students develop world-class advanced competencies. The Department is also cofunding with NSF the Interagency Education Research

Initiative, a $30-million effort supporting research directed toward understanding how to make substantial improvements in early learning in mathematics and other areas. Moreover, the Department promoted the 1999 replication of the TIMSS assessment to interested states and districts that wanted to benchmark their efforts in mathematics and science against international standards.

- **Build public understanding of the mathematics that today's students must master.** The Department and NSF recently launched (December 1999) a $3-million, three-year national public engagement campaign. The campaign is distributing "math challenges" targeted to middle schools that give families an opportunity to explore mathematical ideas together and demonstrate the relevance of mathematics to daily life. The Department also continues to develop and widely disseminate clear, research-based information on the importance of challenging mathematics. For instance, the Department has recently distributed several articles on Federal Work Study and Glenn Commission activities. Recently, the Department developed and widely disseminated *The Formula for Success: A Business Leader's Guide*, which encourages business leaders to actively participate in improving mathematics and science achievement in schools.

- **Encourage a challenging and engaging curriculum for all students based on rigorous standards.** As mandated by Congress, an expert panel released in the fall of 1999 a list of mathematics programs and instructional materials identified as promising or exemplary to help teachers and administrators select and implement high-quality curricula. The expert panel will release results from reviews of science materials in 2000.

- **Promote the coordinated and effective use of Federal, state, and local resources.** The Department has been working to infuse high-quality mathematics into existing Federal programs, especially Title I and the proposed State Grants program, Title II. In partnership with NSF, the Department held regional conferences with state- and district-level teams on how to better use Federal, state, and local resources to improve mathematics achievement. Two reports have been developed from those conferences, including one with case studies of districts that are demonstration projects for the coordinated use of resources, and will be used as the basis for continued technical assistance with Title I and Title II coordinators.

## How We Coordinate with Other Federal Agencies

- **The Department of Education (ED) worked with other Federal agencies to create the National Commission on Mathematics and Science Teaching for the 21st Century, chaired by former senator John Glenn.** There is ongoing collaboration with ex-officio members and their staff, including several Federal agencies (NASA and the Departments of Energy, Transportation, and Defense) and major math and science organizations (NSF, National Academy of Sciences, and the White House's Office of Science Technology and Policy).

- **ED worked together with the NSF to release *An Action Strategy for Improving Achievement in Mathematics and Science*** in response to a Presidential directive that targeted mathematics in middle grades as a leverage point and laid out many of the strategies that America Counts is currently pursuing. The Department continues to collaborate with NSF and other Federal agencies as we implement many of the strategies highlighted above.

## Challenges to Achieving Our Objective

Public understanding of the mathematics education that all students today need is often based on recollections of personal mathematical experiences. Many of these recollections are negative and are characterized by a belief that mathematics excellence is only for a talented few. "What are we going to use this for?" is not merely a student's common lament. Many adults willingly admit their own mathematical ineptitude and demand little more from, or for their children. Coupled with this pervasive malaise is an inadequate understanding of the time needed to make real change in classrooms. Some parents understandably do not want experimentation in their children's classrooms and are concerned about new teaching methods and high-stakes test scores that do not quickly show growth. The public engagement campaign and the high profile of the Glenn Commission will focus new attention on these issues.

## Objective 2.4: Special populations participate in appropriate services and assessments consistent with high standards.

### National Need

**National Concerns.** Children with special needs, including students in high-poverty schools, students with limited English proficiency, students with disabilities, migrant students, Native American students, and students who are homeless, neglected, and delinquent, should benefit from the same access to high-quality schooling as other students. States and districts are in different stages of implementing comprehensive assessment systems by the 2000-01 school year so that *all* students, including children with special needs, reach high standards. States must have aligned assessment systems that meet the requirements of Title I final assessment systems to fulfill their accountability role and ensure adequate educational opportunities for all students. The Individuals with Disabilities Education Act (IDEA) Amendments of 1997 require that general state and district-wide assessment programs include children with disabilities, with appropriate accommodations where necessary. By July 2000, state or local education agencies are required to conduct alternative assessments for those students with disabilities who cannot participate in state and district-wide assessments. To ensure that students with special needs participate in state assessment systems, states are challenged to develop, implement, and be held accountable for policies and practices on inclusion and testing accommodations or alternative assessments where appropriate.

**Our Role.** A Federal emphasis on ensuring that high standards are set, appropriate assessments are in place, and supports are available to schools is critical to ensuring that these students are not left behind. In addition to providing special assistance to children from low-income families, Federal funds support states and districts in serving the needs of students with disabilities, ensuring compliance with civil rights laws, and increasing opportunities for *all* students who are at risk of educational failure.

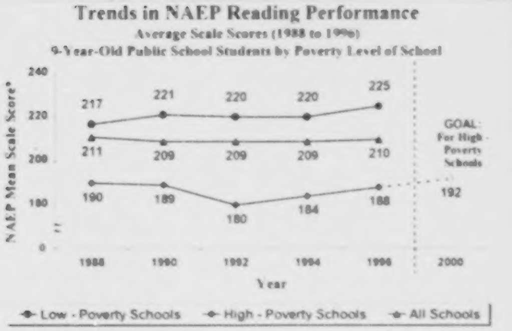
### Our Performance

**How We Measure.** The Department of Education is monitoring this objective by examining progress by states, districts, and schools in implementing effective strategies for teaching students from diverse populations and students with special needs and tracking the results. Outcomes are measured by examining trends in the achievement of students with special needs compared with overall National achievement on the National Assessment of Educational Progress (NAEP), and on state assessments. NAEP is the only nationally representative and continuing assessment that measures what students know and are able to do in different subject areas. The Department is tracking states' progress in developing assessment systems that include *all* students, with appropriate accommodations or alternative assessments when needed, and that are aligned to state content and performance standards.

### Indicator 2.4.a. Increasing percentages of students in high-poverty schools will reach the basic level or higher levels of proficiency in reading and math on the National Assessment of Educational Progress (NAEP), compared with those for the Nation.

**Assessment of Progress in Reading for High-Poverty Schools.** No 1999 data are available, but most recent results show a positive trend toward the target. Scores on the long-term assessment of the National Assessment of Educational Progress (NAEP) of 9-year-olds in high-poverty public schools increased eight points (close to one grade level) between 1992 and 1996 (Figure 2.4.a.1).

Figure 2.4.a.1

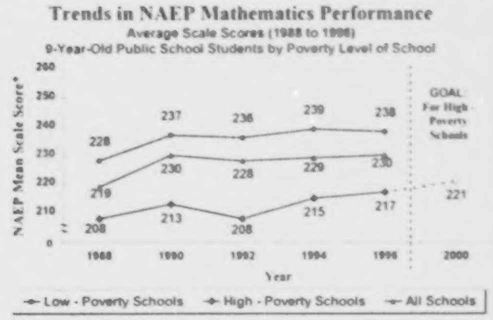


*Scaled scores are 0-500.

**Source:** U.S. Department of Education, National Center for Education Statistics (NCES), National Assessment of Educational Progress, NAEP Reading Trends, unpublished tabulations, 1998. *Frequency:* Long-term NAEP, every 4 years beginning in 1999. *Next Update:* August 2000. **Validation procedure**: Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** Long-term NAEP data for reading and math become available every 4 years.

**Assessment of Progress in Mathematics for High-Poverty Schools.** Positive trend toward target. NAEP scores on the long-term trend assessment show an increase of about 10 points for all 9-year olds from 1988 through 1996 (Figure 2.4.a.2). The average mathematics scale scores of 9-year-old students in the highest poverty schools dropped in 1992 but have increased since then.

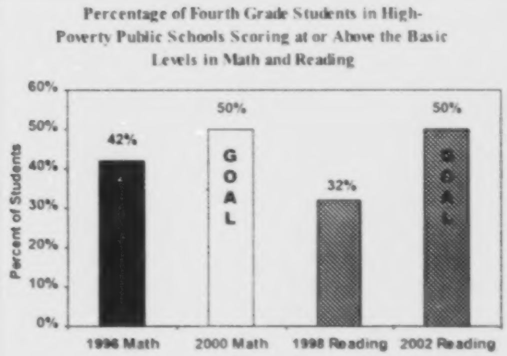
Figure 2.4.a.2



*Scaled scores are 0-500.

**Source:** U.S. Department of Education, National Center for Education Statistics (NCES), National Assessment of Educational Progress, NAEP Mathematics Trends, unpublished tabulations, 1998. *Frequency:* Long-term NAEP, every 4 years beginning in 1999. *Next Update:* August 2000. **Validation procedure:** Data validated by NCES's review procedures and *NCES Statistical Standards*. **Limitations of data and planned improvements:** Long-term NAEP data for reading and math become available every 4 years.

Figure 2.4.a.3



**Source:** U.S. Department of Education, Planning and Evaluation Service (September 1998). *School Poverty and Academic Performance: NAEP Achievement in High-Poverty Schools. A Special Evaluation Report for the National Assessment of Title I.* U.S. Department of Education, National Center for Education Statistics (NCES) (February 1999), National Assessment of Educational Progress (1998 Reading). *Frequency:* Next Main NAEP in reading and mathematics occurs in 2000; reading occurs in 2002 and mathematics in 2004. *Next Update:* August 2001. **Validation procedure:** Data validated by NCES's review procedures and NCES Statistical Standards. **Limitations of data and planned improvements:** Performance measurement of this indicator requires clarification. This figure needs to be checked for consistency with the performance data that are reported for Objective 2.2 (reading) and Objective 2.3 (mathematics). The performance data are based on the analysis of long-term NAEP data, whereas performance goals reflect time periods for the Main NAEP schedule. The Department needs to implement consistency of data sources.

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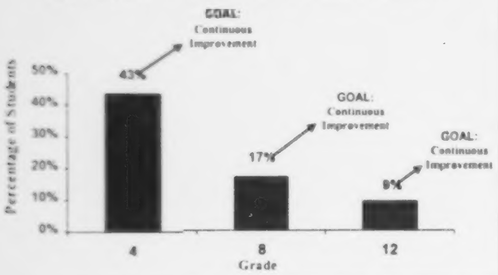
## Indicator 2.4.b. Increasing percentages of students with disabilities will reach the basic level or higher levels of proficiency in reading and math on the National Assessment of Educational Progress (NAEP), compared with all students participating in NAEP.

**Assessment of Progress**. Data serve as baseline only. The NAEP 1996 assessment measured the mathematics skills and knowledge of fourth, eighth, and twelfth-graders in the United States on a scale of 0 to 500. Across all three grades, students with disabilities performed lower than students without disabilities; that gap was wider among eighth and twelfth graders than among fourth-graders. In schools using traditional eligibility criteria, fourth graders with disabilities had a mean mathematics score of 197.5, compared with 225.7 for students without disabilities.

Figure 2.4.b.1

**Percentage of Students with Disabilities Who Scored in the Below Basic, Basic, Proficient, and Advanced Ranges on the 1996 NAEP Mathematics Assessment, in Schools Using Revised Eligibility Criteria and Permitting Accommodations**



**Source:** U.S. Department of Education, Unpublished data tabulations from 1996 Main NAEP database. *Frequency:* Main NAEP Mathematics Assessment, 1998 and 2000. *Next Update:* 2001 and 2002. *Frequency:* Main NAEP Reading Assessment, 1996, 1998, and 2000. *Next Update:* 2001 and 2002. **Validation procedure:** Data tapes provided by NCES. Data analyzed by outside contractor. **Limitations of data and planned improvements:** Performance measurement of this indicator relies on support of a separate analysis of NAEP data. Since 1990, NAEP has included an identifiable sample of students with disabilities, but participation rates for students with disabilities have been low. The National Center for Education Statistics (NCES) revised the criteria for participation and field tested new test accommodations. To maintain valid trend results in mathematics, some schools used materials and administration procedures consistent with the 1990 and 1992 assessments, and others used revised materials and procedures. This allowed NCES to study the effects of the revised procedures without invalidating trend data.

## Indicator 2.4.c. By 2001, states will implement appropriate procedures for assessing and reporting progress toward achieving high standards by all students, including students with disabilities; students with limited English proficiency; children who are educationally disadvantaged, homeless, neglected, or delinquent; or children of migrant workers.

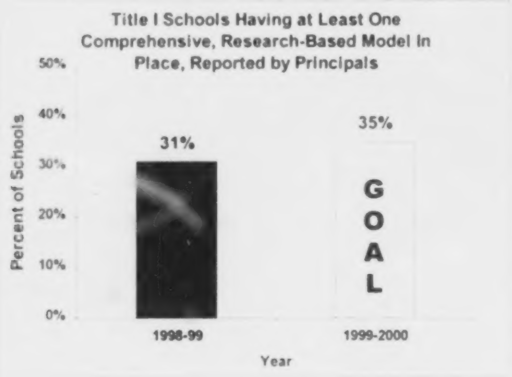
**Assessment of Progress.** By 2000-01, states are required to develop assessment systems that include appropriate procedures for assessing and reporting progress of students who have disabilities, have limited English proficiency, or are children of migrant workers. State-reported data indicate an increase in the numbers of states including students with special needs in state assessments and an increase in the development of policies and procedures on appropriate accommodations. States' efforts in developing alternative assessments for students with disabilities who cannot participate in state general assessments, and reasonable adaptations and accommodations for students with diverse learning needs, continue to require the Department's support and assistance, as do states' reporting on the results of assessments for *all* students. Our goal for 2000-01 is 100 percent state implementation of appropriate procedures for assessing and reporting student achievement.

**Source:** Peer Reviewer system for evaluating evidence of final assessments under Title I of the ESEA. *Frequency:* Biannual Part B State Performance Reports. *Next Update:* 2001. **Validation procedure:** Both sources of data are being implemented. The Department will be developing methods to analyze these data for the Government Performance and Results Act (GPRA) reporting purposes. **Limitations of data and planned improvements:** None expected.

## Indicator 2.4.d. The number of schools using comprehensive, research-based approaches to improve curriculum and instruction and support services for at-risk students will increase annually.

**Assessment of Progress.** The success of schools in teaching all children and in raising student performance is closely linked to schools' adoption of models of comprehensive reform and to providing students who are at risk for educational failure with the necessary supports and educational services enabling them to reach the same high standards as their peers. The Department plans to continue its support of research, dissemination, and technical assistance activities that contribute to the existing knowledge base of research-based comprehensive school reform models.

Figure 2.4.d.1



**Source:** National Longitudinal Survey of Schools. Unpublished tabulations, 2000. *Frequency*: Annual for three years, 2000-03. *Next Update*: 2001. **Validation procedure:** Internal review procedures of an experienced data collection agency. **Limitations of data and planned improvements:** Performance data are based on preliminary data analysis of unpublished data tabulations.

## Indicator 2.4.e. Increasing percentages of administrators and educators working with at-risk children will have access to and use high-quality information and technical assistance on effective practices.

**Assessment of Progress.** The 1999 data establish the baseline. The Department supports national research, development, dissemination, technical assistance, and clearinghouse activities so that practitioners and administrators at local levels have up-to-date and effective strategies for educating students with diverse or special learning needs. Teachers tend to access information from professional associations and organizations and from Federal, state, or district Title I offices for technical assistance. State Administrators of Federal programs are most likely to look for technical assistance from sources outside their own district on the topics of improvement of curriculum and instruction in reading or language arts and mathematics; analyzing and interpreting student achievement data; and improving the quality of bilingual education and English as a Second Language (ESL) programs. Administrators most often turn to their state education agency or intermediate education agency for information and assistance. The Department plans to continue to monitor the individual GPRA performance plans for its programs that serve at-risk populations.

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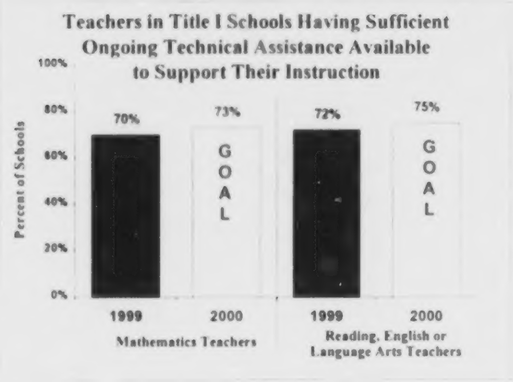
Figure 2.4.e.1



**Source:** U.S. Department of Education, National Longitudinal Survey of Schools (NLSS). Unpublished tabulations, 2000. *Frequency:* Annually, for 3 years. *Next Update:* 2001. U.S. Department of Education. Comprehensive Regional Assistance Centers Program: Final Report on the Evaluation. (2000) *Frequency:* One-time evaluation. **Validation procedure:** Data from Nationally representative sample analyzed by outside contractor.

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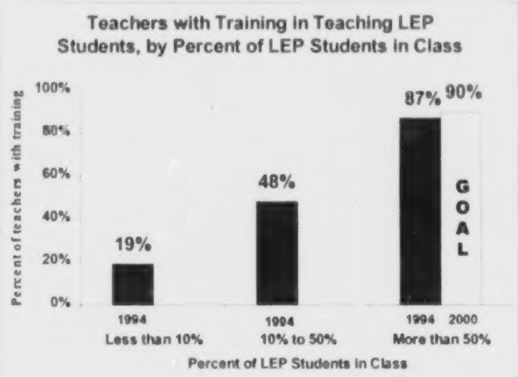
## Indicator 2.4.f. Increasing percentages of teachers will be equipped with strategies to enable students with limited English proficiency or disabilities or children who are educationally disadvantaged, homeless, neglected, or delinquent to meet challenging standards.

**Assessment of Progress.** The growing number of limited English proficiency students requires an increase in the number of teachers trained to address their particular needs. At the same time, increased accountability for *all* students requires greater attention to the training of teachers serving students who are most at risk.

Figure 2.4.f.1



**Source:** NCES (1997, January). A Profile of Policies and Practices for Limited English Proficiency Students (SASS 1993-94). *Frequency:* Sporadic. *Next Update:* 2001. **Validation procedure:** National Center for Education Statistics. **Limitations of data and planned improvements:** Baseline data serve as a proxy for the indicator and are dated (1993-94). The (1999) Schools and Staffing Survey will provide an update.

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## How We Plan to Achieve Our Objective

### How ED's Activities Support the Achievement of this Objective.

- **Increase financial support for special populations.**
  - Request $8.4 billion for FY 2001 Title I Grants to Local Educational Agencies to help states and school districts continue to implement major reforms intended to help reduce the gap between the educational achievement of disadvantaged children and that of their more advantaged peers. This will be supplemented with an additional $380 million to support services to migrant children.
  - Request $6.1 billion for FY 2001 for IDEA State Grants to improve the quality of education for children with disabilities so that these children can, to the maximum extent possible, meet the same challenging standards that have been established for all children, while also preparing them for employment and independent living.
  - Request $180 million for FY 2001 Bilingual Education Instructional Services, which support projects designed to develop the English language skills of participating students to help them meet the same challenging standards expected of all students.
  - Request $116 million for FY 2001 Indian Education programs, which supplement the efforts of states, local districts, and Indian tribes to improve educational opportunities for Indian children.
  - Request $1 billion for FY 2001 for the 21st Century Community Learning Centers program to provide more high-quality extended learning opportunities for children and to help ensure that every child attending a failing school will have the opportunity to participate in quality after-school or summer-school programs.
  - Request $50 million for FY 2001 for a new Recognition and Reward program to reward states for improving student achievement and for reducing the achievement gap between high- and low-performing students, as measured by state results on the National Assessment of Educational Progress.
  - Request $32 million for FY 2001 Education for Homeless Children and Youth Grants to ensure that all homeless children have access to a free, appropriate public education.
  - Request $42 million for FY 2001 for the Title I Neglected and Delinquent program for services to children and youth in state-operated institutions.

- **Improve supports and educational services for all children.**
  - Continue to disseminate *Peer Reviewer Guidance for Evaluating Evidence of Final Assessments Under Title I of ESEA* (1999), which includes requirements that states include all children in state assessments and reporting. This publication and related regional training sessions offered in conjunction with ED's regional Improving America's Schools Conferences describe in detail the process that will be used to ensure that state assessments systems, to evaluate Federal programs, fairly evaluate the performance of all students on state academic standards.
  - Revise and publish a resource guide developed by the Office for Civil Rights for educators and policymakers on the use of tests when making high-stakes decisions for individual students. The resource guide will include sections on inclusion and accommodations for students with limited English proficiency and students with disabilities.
  - Disseminate results of research conducted through the Office of Bilingual and Minority Languages Affairs, Office of Special Education and Rehabilitative Services, and the Office of Educational Research and Improvement, which will inform the development of assessments for all children and strategies for accommodations.
  - Monitor programs to ensure that all children with disabilities are included in general assessments, as appropriate, and that children with disabilities who do not participate in general assessments are included in alternative assessments by July 2000.

- Promote attention, through Federal monitoring and technical assistance, to tracking and promoting measures of successful practices in addressing the needs of disadvantaged students.

- **Highly qualified teachers.**
  - Promote the training and recruitment of teachers to serve children with special needs, such as students with limited English proficient or students with disabilities, and for high-poverty areas as part of the President's Class-Size Reduction Initiative.
  - Review and work with states and districts to encourage teacher recruitment and placement practices that engage the most qualified staff to teach students who are most disadvantaged.
  - Support IDEA State Improvement grants to states to implement plans for system reform and respond to their needs for highly qualified personnel.
  - Request $40 million for the School Leadership program to provide current and prospective superintendents and principals, particularly individuals who serve in high-poverty, low-performing districts and schools, with sustained and intensive training to improve their capacity to be effective leaders and successfully implement standards-based reforms in their schools and classrooms.
  - Request $175 million for Teacher Quality initiatives, including Hometown Teachers, Higher Standards, Higher Pay, and Teacher Quality Incentives, to help expand the supply of teachers and build a strong teaching force, especially in high-poverty areas.
  - Request $30 million for the Early Childhood Educator Professional Development program to help improve the school readiness of children, especially in high-poverty communities, by creating high-quality professional development opportunities.

- **Research, dissemination, and implementation of effective practices.**
  - Expand the scope of ED-supported dissemination regarding the implementation of strategies to support the education of students with special needs and in high-poverty districts, including those supported through the Comprehensive School Reform Demonstration program.
  - Request funding to support new research projects that develop designs to improve reading in English for Spanish speakers.
  - Develop and implement a comprehensive Department-wide strategy for disseminating promising practices and guidance to targeted districts and schools (e.g., those serving the highest concentrations of poor and limited English proficient students).
  - Continue to fund OSERS research, development, and training efforts to improve services and results for students with disabilities.
  - Continue the five-year $10 million initiative begun in 1998 to provide training and disseminate information to state and local administrators, teachers, parents, and others on the implementation of the IDEA Amendments of 1997, including access to challenging curricula, programs based on high expectations, and general assessments.

## How We Coordinate with Other Federal Agencies

- **Children of families with special needs.** Expand coordination efforts with the Departments of Health and Human Services and Labor to ensure that children from families moving from welfare to work and others with special needs (e.g., migratory workers, homeless families) receive opportunities to participate fully in educational activities.

- **Research**. Continue to support the efforts of the National Institute for Child Health and Development (NICHD) in studying ways in which Spanish-speaking children can best learn English. Continue the

Interagency Education Research Initiative, a collaborative effort between the Department of Education, the National Science Foundation, and the National Institute of Child Health and Human Development, to improve pre-kindergarten through grade 12 student learning and achievement in reading, mathematics, and science by supporting rigorous, interdisciplinary research.

- **President's Hispanic Education Initiative**. As the lead agency for the President's Hispanic Education Initiative, we build on public and private partnerships to support increased family and community involvement in education. For example, with the Partnership for Family Involvement, we promote America Reads and other efforts to support a greater emphasis on reading through Spanish language television (e.g., Univision), radio, and print media.
- **Executive Order on American Indian and Alaska Native Education**. Support programmatic strategies—including dissemination and support for the implementation of comprehensive reform strategies—and conduct research related to the education of Native Americans, as determined by an interagency task force.
- **Support for homeless and migrant children.** Continue to participate—as a member of a Federal interagency council on homelessness—in developing collaborative strategies to address the unique needs of homeless children that pose barriers to student achievement. Support migrant technology grants and multistate consortia established to develop materials and implement procedures, across states, for addressing the needs of migrant children—particularly those related to their mobility.
- **Juvenile justice.** Coordinate with the Department of Justice in supporting and disseminating improved state-level strategies for the collection, analysis, and use of data regarding youth who are placed in juvenile facilities.
- **Improving services for children with disabilities**. Continue to collaborate with the Public Health Service in providing technical assistance and disseminate information to improve mental health service delivery in schools.

## Challenges to Achieving Our Objective

States should be prepared to submit evidence that their final assessment systems have been field-tested and are in place by the spring or summer of 2000. To determine whether states have met Title I assessment requirements, the Department will use a peer review process involving experts in the fields of standards and assessments to evaluate state assessment systems against Title I requirements only. The Department will review IDEA assessment requirements as reported in Biannual Part B State Performance Reports. Assessment results must be disaggregated within each school and district by gender, major racial and ethnic groups, English proficiency status, migrant status, students with disabilities as compared with students without disabilities, and economically disadvantaged students as compared with students who are not economically disadvantaged. States are in varying stages of developing and implementing assessments aligned to state standards and accountability systems, and including and reporting on the results of *all* students.

# Goal 3. Ensure access to postsecondary education and lifelong learning.

Postsecondary education is becoming ever more important to both individual and national well-being. Given current trends, at least 2 years of postsecondary education will be increasingly necessary in the next century to gain higher earnings and improved job opportunities. Although American higher education is regarded internationally as high-quality, almost 35 percent of our own high school graduates do not immediately attend postsecondary education. Moreover, postsecondary enrollment and completion rates are significantly lower for blacks and Hispanics and for students from lower- and middle-income families than for whites and those from higher-income families. Although enrollment rates have been rising in recent years, postsecondary education remains an elusive option for too many American high school graduates.

Besides helping to ensure postsecondary training for our young people, we must encourage lifelong learning, whether it be graduate school, or adult basic education, advanced technical training, or training in job entry skills. Lifelong learning is important particularly for persons with disabilities, adults lacking basic skills, and those whose job skills need upgrading or who require retraining because of labor market changes. Persons with disabilities are at least twice as likely as people without disabilities to be unemployed, which is estimated to cost society in excess of $2 billion annually. In addition, the National Adult Literacy Survey of 1992 showed that at least 21 percent of adults age 16 and older lacked basic reading and math skills needed for well-paying jobs or entry into higher education.

To help guarantee access to postsecondary education and lifelong learning, we need to continue to make progress in key areas, ensuring that the following four objectives are met:

**Objective 3.1: Secondary school students get the information, skills, and support they need to prepare successfully for postsecondary education**. Movement toward achievement of Goals 1 and 2 will go a long way toward making this a reality. We also need to help motivate students to continue their education beyond high school by providing them with earlier and better information about what the benefits of postsecondary education are, what admission requirements are, how much college costs, and how they can get financial aid to help pay postsecondary costs.

**Objective 3.2: Postsecondary students receive the financial aid and support services they need to enroll in and complete a high-quality educational program.**

**Objective 3.3: Postsecondary student aid delivery and program management is efficient, financially sound, and customer-responsive.**

**Objective 3.4: All educationally disadvantaged adults can strengthen their literacy skills and improve their earning power over their lifetime through lifelong learning.** Best practices are identified, and performance data systems are updated. These steps greatly enhance the quality of rehabilitation and adult education programs by providing feedback for program development, supporting coordination with other Federal agencies, and improving employment outcomes for adults on welfare, those with disabilities, and those who have low levels of skills and education.

## Objective 3.1: Secondary school students get the information, skills, and support they need to prepare successfully for postsecondary education.

### National Need

**National Concerns.** In the United States today, a postsecondary education has become more important than ever before. Postsecondary graduates can expect to earn at least $600,000 more over their lifetime than high school graduates. This amount has doubled in the past 15 years, and this disparity is likely to continue to grow. While the number of students attending postsecondary institutions has increased over time, low-income and minority students remain at a significant disadvantage in terms of their access to postsecondary education. Research has shown that information about the benefits of postsecondary study, academic requirements, and the availability of financial aid are critical factors in motivating students and families to begin early preparation for and eventually attend a postsecondary institution.

**Our Role.** The Department of Education (ED) supports postsecondary preparatory programs such as Upward Bound, Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP), and Talent Search. These programs are designed to provide low-income youth with academic support, information about postsecondary costs and financing, and other assistance. In addition, the Department disseminates information and provides other postsecondary preparatory support services to a broad range of students and families, beginning in the middle school years and continuing throughout high school.

### Our Performance

**How We Measure.** The performance indicators for Objective 3.1 relate to expected outcomes of the Department's efforts to improve postsecondary study awareness including increasing postsecondary enrollment rates, creating greater awareness of the availability of financial aid and the academic requirements of postsecondary enrollment, and providing effective early intervention programs.

### Indicator 3.1.a. Postsecondary education enrollment rates will increase each year for all students while the enrollment gap between low- and high-income and minority and nonminority high school graduates will decrease each year.

**Assessment of Progress.** No 1999 data are available; progress toward reducing the enrollment gap between low- and high-income students is likely, while progress toward increasing the overall enrollment rate is difficult to judge and no progress has been made in reducing the enrollment gap between minority and white students. Figure 3.1.a.1 shows that the enrollment rate of low-income students (3-year average) increased 10 percentage points between 1996 and 1998, resulting in a statistically significant reduction in the gap between low- and high- income students between 1997 and 1998. There was also a statistically significant increase in the overall enrollment rate from the 1994-1995 period to the 1997-1998 period. However, there has been no significant change in the enrollment rate since 1996 making it difficult to judge progress. Finally, there was no statistically significant difference in any of the two years presented between whites and blacks and whites and Hispanics (see figure 3.1.a.2) indicating no progress in reducing the enrollment gap by race. One factor affecting achievement of this goal is that while Federal financial aid is an important factor in promoting postsecondary access, outside factors such as academic preparation and the economic returns on education are probably even more crucial to students' decisions about whether to attend a postsecondary institution.

Figure 3.1.a.1

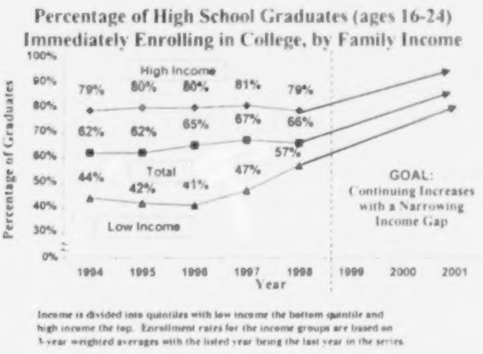
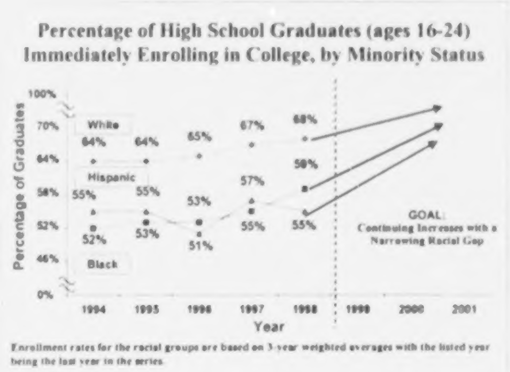


Figure 3.1.a.2



**Source:** October Current Population Surveys conducted by the Census Bureau. *Frequency:* Annual. *Next Update:* 1999. **Validation procedure:** Verified by ED data attestation process. **Limitations of data and planned improvements:** Small subgroup sample sizes for low-income and minority students lead to large yearly fluctuations in enrollment rates.

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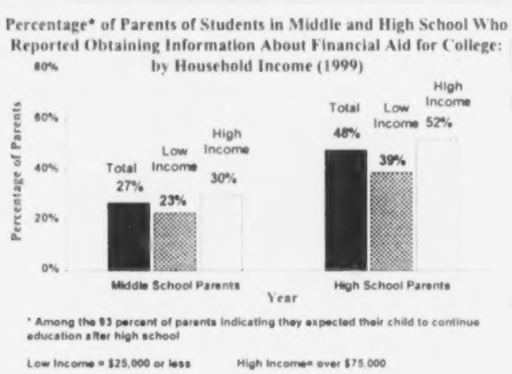
## Indicator 3.1.b. The percentage of parents of students in middle and high school obtaining information concerning financial aid for postsecondary study will increase while the difference in rates between low- and high-income families will decrease.

**Assessment of Progress.** Progress cannot be judged until trend data are available. Overall, 38 percent of parents of middle and high school students who indicated that they expected their child to continue education after high school reported either talking with someone or reading materials about sources of financial aid for their child's postsecondary education (not shown in figure). Figure 3.1.b.1 shows that parents of high school students were more likely to obtain financial aid information than were parents of middle-schoolers (48 percent versus 27 percent). Higher income parents were also more likely to obtain financial aid information than were lower income parents.

Figure 3.1.b.1



**Source**: National Household Education Survey. *Frequency:* Periodic. *Next Update:* 2001. **Validation procedure:** Data validated by National Center for Education Statistics (NCES) review and *NCES Statistical Standards*. **Limitations of data and planned improvements**: None.

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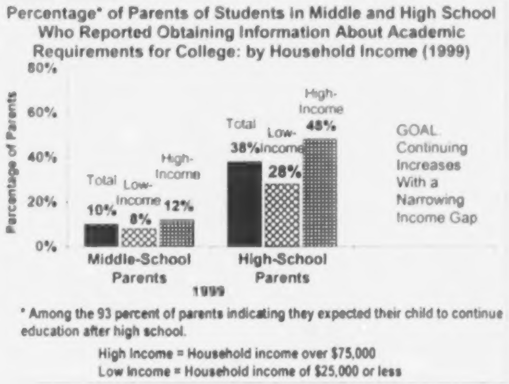
## Indicator 3.1.c. The percentage of parents of students in middle and high school obtaining information concerning the academic requirements for postsecondary study will increase while the difference in rates between low- and high-income families will decrease.

**Assessment of Progress.** Progress cannot be judged until trend data are available. Overall, 26 percent of parents of middle and high school students who indicated that they expected their child to continue education after high school reported talking with a counselor or teacher about the academic requirements for postsecondary study or postsecondary vocational school (not shown in figure). Figure 3.1.c.1 shows that parents of high school students were more likely to obtain information about the academic requirements for postsecondary education than were parents of middle schoolers (38 percent vs 10 percent). Higher-income parents were also more likely to obtain information about academic requirements for postsecondary education than were lower-income parents.

Figure 3.1.c.1


**Percentage* of Parents of Students in Middle and High School Who Reported Obtaining Information About Academic Requirements for College: by Household Income (1999)**

* Among the 93 percent of parents indicating they expected their child to continue education after high school.

High Income = Household income over $75,000
Low Income = Household income of $25,000 or less

**Source:** National Household Education Survey. *Frequency:* Periodic. *Next Update:* 2001. **Validation procedure:** Data validated by NCES review and *NCES Statistical Standards*. **Limitations of data and planned improvements:** None.

## Indicator 3.1.d. Participants receiving support services through the Department's early intervention programs will enroll in postsecondary programs at rates higher than comparable nonparticipants.

**Assessment of Progress.** Target met for certain subgroups of students but not for the overall program. Figure 3.1.d.1 summarizes key results for the program. Educational outcomes were statistically significantly higher for Upward Bound participants who had lower educational expectations, were academically high-risk students, and were male, compared with those than they were for similar students in a random control group. Overall, however, students who participated in Upward Bound did not have a higher number of total high school credits earned, high school graduation rate, grade point average (GPA), or postsecondary enrollment rate than did comparable nonparticipants.

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Figure 3.1.d.1

**Upward Bound Evaluation Findings**

Results are based on information collected 2 to 3 years after students applied to Upward Bound. About two-thirds of the students in the sample had completed high school, but only one-quarter were enrolled in college. Because many of the students had not attended college, the most credible results pertain to students' high school experiences:

- **The overall effects of Upward Bound on high school students are limited.** Participants who had slightly higher educational expectations, earned more credits in math and social studies, earned more credits from 4-year postsecondary institutions, were more likely to have received financial aid, and were more actively involved in college activities. However, participation did not affect total high school credits earned, high school graduation, GPA, or postsecondary school enrollment.

- **Upward Bound has a large impact on some groups of students.** Three groups of students who benefited substantially were students entering Upward Bound with lower educational expectations, academically high-risk students, and boys. The evaluation had positive results for these students across a wide range of topics, including educational expectations, high school academic credits, high school graduation, and college enrollment.

- **The duration of participation matters.** A longer exposure to Upward Bound was associated with a greater program impact.

- **The findings from the evaluation strongly suggest that two ways to improve the program's effectiveness are to enroll more at-risk students and to improve program retention.**

**Source:** Special Upward Bound evaluation commissioned by ED. *Frequency:* Periodic. *Next Update:* 2000. **Validation procedure:** Data validated by conducting the evaluation in accordance with strict methodological standards including the random assignment of students to treatment and control groups. **Limitations of data and planned improvements:** Major program evaluations, while providing rigorous information comparing recipients and nonrecipients, are conducted very infrequently. We are currently assessing the feasibility of combining program performance reports with data on student aid recipients to assess the success of the TRIO programs in getting students to enroll in and complete postsecondary study. Data reported by grantees on their annual performance reports on the performance of the TRIO programs will be verified against the evaluation results.

## How We Plan to Achieve Our Objective

### How ED's Activities Support the Achievement of This Objective.

- **Support services to help students prepare for postsecondary education.**
  - The GEAR UP Program provides low-income children with additional counseling, mentoring, academic support, outreach, and support services, as well as information on the benefits of postsecondary study, academic requirements, and financial aid opportunities through state programs and partnerships of postsecondary institutions, middle and high schools, businesses, and community organizations. Funding also supports strategies and activities for parental involvement, professional development, and staff training. In FY 2000, GEAR UP projects will provide services to more than 750,000 students. The FY 2001 budget provides a 62.5 percent

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increase in GEAR UP funding to $325 million, enough to provide services to 1.4 million students in high-poverty schools.

- The $725 million FY 2001 request for the TRIO Programs, an increase of $80 million, would enhance support for the Upward Bound Program and maintain support for the Talent Search Program, which identifies disadvantaged students in middle and high school and provides them with academic and career counseling, postsecondary preparatory information, help with postsecondary admission and financial aid, and tutoring services. In addition, the Department will use the findings from its evaluations to help projects improve programs and to increase program effectiveness.
- The Department will continue to work with the Ford Foundation to promote the GEAR UP Program, provide information to help GEAR UP grantees implement high-quality projects, and support continuous program improvement. These efforts include a series of regional conferences for prospective GEAR UP applicants to learn about the grant application process, to design high-quality projects, and to form college-school partnerships. In addition, conferences will be held for GEAR UP grantees to disseminate information on best practices, to exchange information and ideas with other grantees, and to assist the Department in monitoring early program implementation.

- **National campaign for middle school students.**
  - The Department will continue its efforts to inform middle and high school students and their families, as well as the general public, about the steps needed to attend a postsecondary institution. Efforts will include updating and reprinting publications designed to inform students and their parents of the benefits of postsecondary study, academic requirements, and the availability of financial aid. For example, the parent publication *Getting Ready for College Early* was reprinted (almost one million copies have been requested), and a Spanish edition has been published and widely distributed. In addition, the availability of the Think College Early Web site provides an electronic mechanism for informing the public about postsecondary education.
  - Continue to partner on early postsecondary awareness initiatives of numerous public and private organizations, such as the National Middle School Association's Month of the Young Adolescent, the College Board's Connect ED 2000: Engaging a Nation Summit, the Boy Scouts of America's Learning for Life program, and Court TV's Choices and Consequences middle grades initiative. Also work with state programs, such as the Massachusetts Think College Early campaign, and higher education institutions that partner with middle schools on postsecondary awareness and preparation programs.

## How We Coordinate with Other Federal Agencies

- **Public awareness campaigns**. We work with the National Science Foundation's National mathematics public engagement campaign and the Department's GEAR UP Program in designing and implementing postsecondary awareness information and activities, and working to ensure that the programs are well-coordinated and mutually reinforcing.

- **Dissemination of research.** We coordinate the TRIO clearinghouse with other ERIC clearinghouses to better disseminate research on the preparation of disadvantaged youth for postsecondary education.

## Challenges to Achieving Our Objectives

Student preparedness for postsecondary study depends on many factors, including school experiences in K-12, family and outside influences, and individual motivation and expectations. Although family and other influences will continue to have a strong bearing on student success, the Department of Education (ED) will provide information and support to as many students and families as possible through publications, Web sites, and promotion of family involvement through the GEAR UP Program.

## Objective 3.2: Postsecondary students receive the financial aid and support services they need to enroll in and complete a high-quality educational program.

### National Need

**National concerns.** In the United States today, a postsecondary education is increasingly required to obtain a good job. The growing importance of postsecondary education makes it even more critical that all people have high-quality opportunities to further their education beyond high school. Unfortunately, there is a long way to go before postsecondary opportunities are equalized for low-income and minority students. Barriers to postsecondary opportunity include inadequate academic preparation, lack of knowledge concerning the postsecondary institution entry process, and insufficient financial resources.

**Our Role.** Goals 1 and 2 as well as Objective 3.1 support work under this objective by helping ensure that all students are prepared for and knowledgeable about postsecondary education. Through the student financial assistance programs, the Department of Education makes grants, loans, and Work Study opportunities available to help overcome the financial barriers that make it difficult for lower- and middle-income students to attend and complete postsecondary education. More than two-thirds of student aid provided to postsecondary students comes from the Federal student aid programs—more than $50 billion in FY 2000. To help overcome nonfinancial barriers to postsecondary education, the Department provides funds through the Title III Strengthening Institutions, International, Howard University, and other programs to help ensure there are high-quality institutions available to serve disadvantaged students. The Department also works through TRIO and other programs to provide support services to enable disadvantaged students to complete postsecondary education and enter graduate school. The Department also plays a strong leadership role in postsecondary education both through support for innovation provided by programs such as the Fund for the Improvement of Postsecondary Education and Learning Anytime Anywhere Partnerships and through numerous outreach activities. One outreach activity, the Agenda Project, will solicit input from all stakeholders to determine how the Department can better serve its postsecondary education customers. This project will also help set the postsecondary education agenda for the next 5 years.

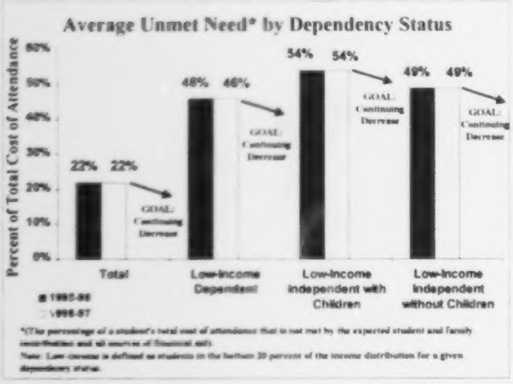
## Our Performance

**How We Measure.** Performance indicators for Objective 3.2 measure outcomes associated with the postsecondary education system, such as reducing unmet need and debt burden, increasing graduation rates, ensuring that the student aid programs remain cost beneficial, and providing effective support programs for postsecondary students. Indicators relating to the Department's delivery of the postsecondary education programs are included under Objective 3.3.

## Indicator 3.2.a. Considering all sources of financial aid, the percentage of unmet need, especially for low-income students, will continuously decrease.

**Assessment of Progress.** There are no 1999 data. Based on earlier data, no change in progress is likely. There was no change in the ratio of unmet need to total cost of attendance between the 1995-96 and 1996-97 school years. While Federal student aid is a significant factor affecting unmet need, at least as important are institutional and state decisions regarding the cost of attendance, revenues, and expenditures. All these factors increase the difficulty of meeting the goal of continual decreases in unmet need.

Figure 3.2.a.1



*(The percentage of a student's total cost of attendance that is not met by the expected student and family contribution and all sources of financial aid)

Note: Low-income is defined as students in the bottom 20 percent of the income distribution for a given dependency status.

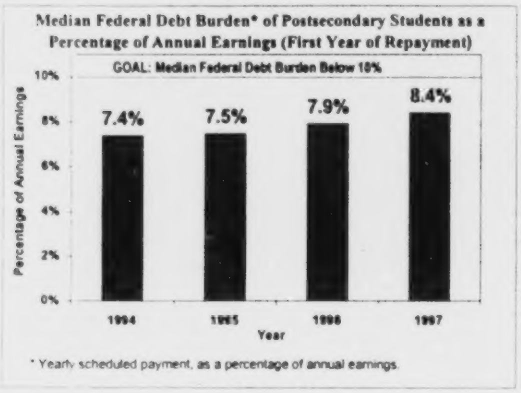
**Source:** 1995-96 National Postsecondary Student Aid Study (NPSAS); 1996-97 and future years based on administrative records and data from the Integrated Postsecondary Education Data System (IPEDS) and College Board. *Frequency:* Annual. *Next Update:* 1997-98 (available in 2000); 1998-99 (available in 2001). **Validation procedure:** Data verified by ED data attestation process. **Limitations of data and planned improvements:** NPSAS data are collected only every 4 years so estimates are required for the intervening years. These estimates, while done as carefully as possible, do not necessarily exactly represent the circumstances that students faced in 1996-97. Planned improvements include comparing projections with actual data from the 1999-00 NPSAS and investigating the use of other, more timely, sources of data to update the various components of unmet need.

It should be noted that because unmet need represents the amount of additional aid a student could possibly receive under student aid regulations, it does not really reflect the resources that students and their families actually use to pay for postsecondary study. However, trends in unmet need are a good measure of changes in postsecondary affordability.

## Indicator 3.2.b. The median Federal debt burden (yearly scheduled payments as a percentage of annual earnings) of borrowers in their first full year of repayment will be less than 10 percent.

**Assessment of Progress.** No 1999 data are available; progress toward the target is likely. As a general rule, it is believed that an educational debt burden of 10 percent or greater will negatively affect a borrower's ability to repay his or her student loan and to obtain other credit such as a home mortgage. Based on previous trends, we expect the 1999 median debt burden rate to remain below 10 percent in the foreseeable future. The rise in median debt burden over time is a concern, however. Given that loans play such a major role in enabling students to afford postsecondary study, limiting their use would be counterproductive in terms of achieving the programs' goals regarding postsecondary access and completion. As described in the following section, "How We Plan to Achieve Our Objectives," the Department is taking steps, including raising the Pell Grant maximum award and offering flexible repayment plans, to help ensure that borrowers do not become overly burdened with debt.

Figure 3.2.b.1



* Yearly scheduled payment, as a percentage of annual earnings.

**Source:** National Student Loan Data System (NSLDS) and Social Security Administration (SSA) earnings records. *Frequency:* Annual. *Next Update:* 1998 (available in 2000). **Validation procedure:** Data verified by ED data attestation process. **Limitations of data and planned improvements:** Debt burden may be overstated because income is based only on earnings, is limited to the amount earned by the individual borrower, and is capped at the maximum amount upon which Social Security taxes are owed ($65,400 in 1997). ED is working with the Internal Revenue Service (IRS) to discuss obtaining permission to use income data, which would alleviate these limitations.

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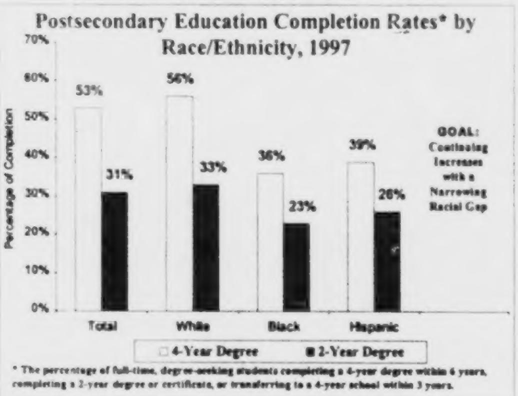
## Indicator 3.2.c. Completion rates for all full-time degree-seeking students in 4-year and 2-year postsecondary institutions will improve, while the gap in completion rates between low- and high-income and minority and nonminority students will decrease.

**Assessment of Progress.** No 1999 data are available; progress cannot be judged until trend data are available. Approximately one-half of full-time degree-seeking students complete a 4-year degree within 6 years, while one-third complete a 2-year degree or certificate or transfer to a 4-year school within 3 years. Completion rates for black and Hispanic students are lower than those for white students.

It should be noted that the completion rates reported here are understated to the extent to which students complete their degree at a different institution from the one at which they began. The extent of the underestimation appears to be about 10 percentage points.

Figure 3.2.c.1



* The percentage of full-time, degree-seeking students completing a 4-year degree within 6 years, completing a 2-year degree or certificate, or transferring to a 4-year school within 3 years.

**Source:** Graduation Rate Survey (GRS) conducted as part of the Integrated Postsecondary Education Data System (IPEDS). *Frequency:* Annual. *Next Update:* 1998 (available in 2000). **Validation procedure:** Data verified by ED data attestation process. **Limitations of data and planned improvements:** Postsecondary institutions are not required to report graduation rates until 2002. However, data were voluntarily submitted by institutions representing 87 percent of 4-year students and 74 percent of 2-year students. ED is investigating whether a proxy for graduation rates for student aid recipients can be obtained from administrative records to improve the response rates.

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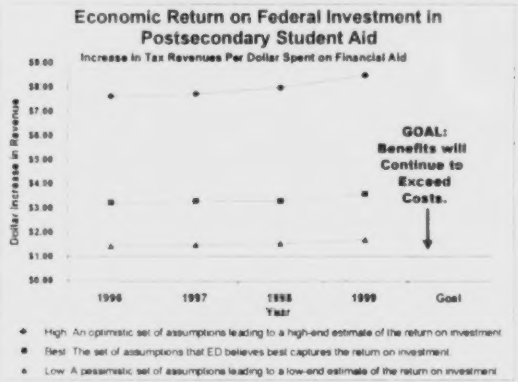
## Indicator 3.2.d. The benefits of the student aid programs, in terms of increased tax revenues, will continue to exceed their costs.

**Assessment of Progress.** Target exceeded. The estimated return on investment is calculated in the following manner:

1) The discounted present value of tax revenue and welfare benefits is calculated for different educational attainment levels.
2) Under the "best" scenario, 90 percent of the revenue differential calculated in step 1 is assumed to be caused by obtaining more education.
3) Under the "best" scenario, for every $100 received by a student in Federal grant aid, 1 percent of the revenue differential calculated in step 2 is assumed to be caused by student aid. It is also assumed that grants and loans are equally cost-effective.
4) The revenue differential calculated in step 3 is divided by the cost to the Federal government of providing the aid.

Based on this calculation, the best estimate is that the student aid programs return well over $3 to Federal taxpayers in terms of increased tax revenue and reduced welfare payments for every $1 spent on the student aid programs. Even using very conservative assumptions, the low estimate is still roughly 50 percent higher than the $1 breakeven point.

Figure 3.2.d.1



**Source:** March Current Population Survey (CPS) and Beginning Postsecondary Student (BPS) study with imputations from the National Postsecondary Student Aid Study (NPSAS) and High School and Beyond (HS&B). Behavioral assumptions were derived, where feasible, from meta-analyses conducted by Leslie and Brinkman in their 1988 book *The Economic Value of Higher Education*. *Frequency:* Annual. *Next Update:* 2000. **Validation procedure:** Data verified by ED data attestation process. **Limitations of data and planned improvements:** A number of assumptions and imputations are required to estimate the return on investment. ED plans to have an independent expert review the methodology and suggest possible areas of improvement.

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## Indicator 3.2.e. Participants receiving support services through the TRIO programs will complete postsecondary programs at rates higher than comparable non-participants.

**Assessment of Progress.** Target met. Students receiving services from the Student Support Services (SSS) Program were more likely to graduate from postsecondary institutions and achieve higher GPAs than were comparable students who did not participate in the program.

Figure 3.2.e.1

**Findings from the Evaluation of the Student Support Services Program**

Preliminary results indicate that among students beginning postsecondary study in 1991, the Student Support Services (SSS) Program had a statistically significant positive effect on the following two key measures of student outcomes:

- SSS recipients were 7 percentage points more likely to continue postsecondary study or complete a degree at the same school within 6 years than were comparable students who did not participate in the program. They were also 11 percentage points more likely to continue postsecondary study or complete a degree at any institution within 6 years.
- SSS recipients, on average, had a Grade Point Average (GPA) that was 0.12 points higher than comparable students who did not participate in SSS.

**Source:** Student Support Services evaluation, 1997. *Frequency:* Periodic. *Next Update:* No future follow-up is planned. **Validation procedure:** Evaluations are subject to strict methodological standards. Data reported by grantees on their annual performance reports on the performance of the TRIO programs will be verified against the evaluation results. **Limitations of data and planned improvements**: Major program evaluations, while providing rigorous information comparing recipients and nonrecipients, are conducted very infrequently. We are currently assessing the feasibility of combining program performance reports with data on student aid recipients to determine the success of the TRIO programs in motivating students to complete postsecondary studies.

## How We Plan to Achieve Our Objective

### How ED's Activities Support the Achievement of This Objective.

ED's activities are focused on providing students with the financial and support services needed to succeed in postsecondary education, improving the quality of institutions of higher education, and beginning a national dialogue on how the Department can better serve all those who have a stake in higher education.

- **Student financial assistance.** If enacted, the Department's FY 2001 budget would provide more than $54 billion in grant, loan, and Work Study assistance to 8.6 million postsecondary students:

  - An $8.4 billion request for Pell Grants would increase the maximum award by $200 to $3,500, the highest ever and more than 50 percent higher than the maximum grant in 1993, and provide grants to nearly 3.9 million students.
  - A $1,011 million request for Work Study (an increase of $77 million) would allow approximately 1 million students to work their way through postsecondary study.
  - The FY 2001 budget provides $691 million for Supplemental Educational Opportunity Grants, a $60 million increase, the largest increase in 10 years, which will serve an estimated 1.2 million students.
  - The Federal Family Education Loans and Federal Direct Student Loan programs would provide 9.4 million loans totaling an estimated $43 billion in funds available to support postsecondary students. In addition, efforts are continuing to help minimize debt burden by implementing and promoting lower interest rates, offering flexible repayment options, providing electronic exit counseling, and minimizing the frequency with which interest is capitalized.

- **Support services for postsecondary students.** Besides providing financial assistance to help students enroll in and complete postsecondary education, the Department also supports programs that provide students with the nonfinancial services needed to achieve their educational objectives:
  - The $725 million request for the TRIO Programs, an increase of $80 million, would enhance support for the Student Support Services (SSS) and maintain support for McNair Postbaccalaureate Achievement programs. These programs provide disadvantaged postsecondary students with the services needed to help them complete their studies and prepare for doctoral work. In addition, per-student funding levels will be increased in the SSS program to help implement recommendations from the National evaluation that found that the provision of higher levels of service led to greater educational impacts.
  - The FY 2001 budget creates a new initiative within the TRIO programs called College Completion Challenge Grants (CCCG). The CCCG program is designed to address the problem of high postsecondary study dropout rates with a comprehensive approach including pre-freshman summer programs, support services, and increased grant aid to students. This $35-million initiative will improve the chances of success for nearly 18,000 students.
  - A tripling of proposed funding (from $5 to $15 million) for the Child Care Access Means Parents in Schools program will help enable more low-income students to succeed in postsecondary education by increasing the availability of campus-based child care services.

- **Improved quality of postsecondary education.** While most of the Department's efforts support the direct provision of assistance to students, whether it is financial or nonfinancial, the Department also plays a significant role in helping to improve the quality of postsecondary education:
  - The FY 2001 request of $581 million (a $61 million increase over FY 2000) for the Aid for Institutional Development, Developing Hispanic-Serving Institutions, and Howard University programs will help enable institutions serving high percentages of minority and disadvantaged students to provide these students with a high-quality postsecondary education. In addition, continued efforts will be made to promote sharing of best practices among institutions.
  - The newly proposed Dual Degree Program ($40 million) will provide grants to minority-serving institutions to promote dual degree programs designed to increase postgraduate access and persistence for their students.
  - The $31 million requested for the Fund for the Improvement of Postsecondary Education (FIPSE) will enable the Department to continue to promote successful postsecondary education reform efforts. The $30 million request for the recently created Learning Anytime Anywhere Partnerships Program will continue to encourage the development of innovative techniques to

enhance the delivery of high-quality postsecondary education and lifelong learning opportunities for all citizens in all settings.

- **The Agenda Project-A National dialogue on postsecondary education.** Through conferences and other outreach activities, the Department will help set the Nation's postsecondary education agenda:
    - Through the winter and spring of 2000, leaders from the Department of Education will seek input through meetings with representatives from postsecondary schools, students, business leaders, and others from the public and private sector. This input will provide insights into how the Department can better serve all those who have a stake in American postsecondary education.
    - In the summer of 2000, Department staff will set out a postsecondary education agenda that reflects the advice gathered. The agenda project should provide an ongoing forum through which all constituents can influence the postsecondary education agenda.

## How We Coordinate with Other Federal Agencies

- **Tax credits:** The Student Financial Assistance Programs work with the Treasury Department to help ensure that tax credits and student aid complement each other in reducing the net price of a postsecondary education for families and students. The newly proposed College Opportunity Tax Cut in conjunction with the already available Hope Scholarship and Lifetime Learning tax credits will reduce the Federal income tax liability of those enrolled in postsecondary education. Other examples of Federal tax-related efforts to help students and their families pay for postsecondary studies include tax-free investments for postsecondary study, such as Series EE U.S. Savings bonds, and tax-preferenced postsecondary study savings vehicles, including the Education IRA.

- **Assistance to minority-serving institutions:** The Department works with the White House Initiative on HBCUs, Educational Excellence for Hispanic Americans, and Tribal Colleges to coordinate assistance provided across the Federal government to these institutions.

## Challenges to Achieving Our Objectives

The affordability of postsecondary education depends not only on the amount of student financial assistance provided by the Federal government, but also on decisions made by states, postsecondary institutions, and other organizations concerning what students are charged to attend school and the amount of non-Federal student aid made available. While the Department staff cannot control what other actors in the system do, we can and will use public pressure to try and keep postsecondary costs low and the availability of non-Federal aid high. We will also continue to publish information concerning postsecondary institutions, so consumers can make cost-effective enrollment decisions. In addition, general economic conditions will affect achievement of most of our postsecondary objectives. There is little the department can do regarding the state of the economy, but it does incorporate expected future economic conditions into forecasts of funding requirements for the Title IV student aid programs.

## Objective 3.3: Postsecondary student aid delivery and program management is efficient, financially sound, and customer-responsive.

### National Need

**National Concerns.** The Department of Education works with approximately 6,000 postsecondary institutions, 4,100 lenders, and 36 guaranty agencies to deliver more than $50 billion in grant, loan, and workstudy assistance to about 8.5 million students who rely on Federal student aid to pay for higher education. The Department has identified the improvement of financial aid delivery services to students, the postsecondary institutions they attend, and financial institutions as one of its highest priority management objectives.

**Our Role.** The Student Financial Assistance (SFA) Performance-based Organization (PBO), created to improve the management of the student financial aid delivery system, became operational in December 1998. A PBO is a results-driven organization created to deliver the best possible services; it is a new way of working in the public sector. It establishes incentives for high performance and accountability for results, while allowing more flexibility to promote innovation and increased efficiency.

Shortly after coming on board, the PBO's chief operating officer developed an interim plan for the first year that focused on projects that moved SFA closer to improving customer satisfaction, cutting costs, and transforming the organization into a PBO. By the end of FY 1999, nearly every component of the plan had been completed, and the organization had delivered much-needed innovative products and services, as well as laid the groundwork for future initiatives. These initiatives have been incorporated into it's 5-Year Performance Plan. (SFA's FY 1999 Final Report and the 5-Year Performance Plan are available on http://www.ed.gov/offices/OSFAP/.)

### Our Performance

**How We Measure.** The Performance Plan for SFA for FY 2000-04 is focused on results. With the successes from the transition year behind us, the PBO provided its long-term working plan for achieving best-in-business service for its customers. The 5-Year Performance Plan focuses on three outcomes: improving customer satisfaction, lowering unit cost, and— because it is essential to improving both— employee satisfaction. The plan sets specific, measurable targets and provides strategies for achieving the intended result. It is based on a simple, balanced scorecard like the best private companies, such as FedEx and American Express, and successful public organizations like the U.S. Postal Service. The new indicators that SFA uses to track its progress are reported below.

### Indicator 3.3.a. Increase customer satisfaction to a comparable private sector industry average as measured by the American Customer Satisfaction Index (ACSI) by fiscal year 2002.[1]

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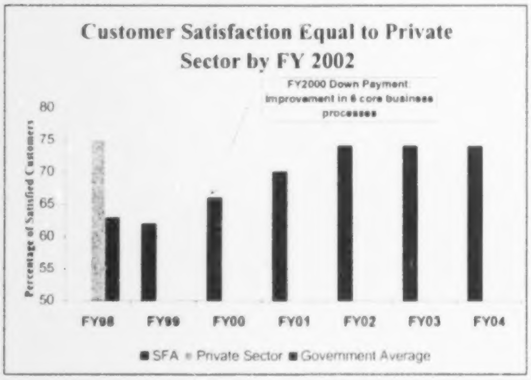
[1] The ACSI uses a widely accepted methodology to obtain standardized customer satisfaction information for all of its participants. More than 170 private sector corporations, and for the first time, numerous government agencies, participated in the recent ACSI. Because it is widely used across all business sectors, it allows SFA to benchmark and compare its performance to the best in business. (See page 127)

**Assessment of Progress.** Unable to judge the progress toward this goal, as it is a new measure for FY 2000. The ACSI benchmark for the finance and insurance industry is 74 out of a possible score of 100. While surveys are under way, SFA will not know its baseline performance until sometime in the spring or summer of 2000.[2] At that time, SFA will be in a better position to determine an FY 2001 target.

As a down payment on SFA's commitment to bring customer satisfaction ratings up to the best in business, SFA will commit to improve satisfaction—as measured by the "Have we gotten better this year?" ACSI survey question—for 6 out of 10 of SFA's core business processes with a substantial number of customers (70 percent or more) reporting improvements in at least one process for each channel.

Figure 3.3.a.1



**Source:** American Customer Satisfaction Index. *Frequency:* Annual. *Next Update:* Spring/summer 2000. **Validation procedure:** Data verified by ED data quality attestation process and *ED Standards for Evaluating Program Performance Indicators*. **Limitations of data and planned improvements:** None noted.

## Indicator 3.3.b. By FY 2004, reduce actual unit costs from projected unit costs by 19 percent.

**Assessment of Progress.** Progress cannot be judged progress toward this goal, as it is a new measure for FY 2000. SFA's 5-year commitment is to cut unit costs enough to overcome both the projected increase in workload and the unavoidable shift to a more expensive phase in servicing operations while staying within the president's budget. The shift to a more expensive phase of servicing by itself would drive overall unit costs up by 10 percent over the next 5 years. The following graph shows SFA's current unit cost targets by year until 2004. Simply put, to stay within the total budget, SFA must in effect cut unit cost by 19 percent by 2004.

The graph of unit cost targets actually shows a slight increase in FY 2000. That is because, besides servicing costs going up, major investments in electronic solutions are needed to reach SFA unit cost cutting targets in years two and three of the plan. Approximately $18 million of the investment made in FY 2000 will actually come from cost-cutting actions this year. The balance of the investment comes from increases included in appropriations.

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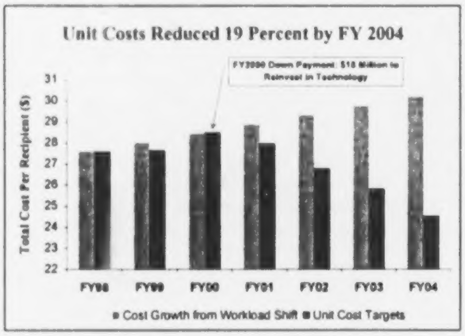
[2] A preliminary survey of 1of our 10 core business processes, electronic application processing, scored 63 out of 100 (December 1999).

To show SFA is making cost cutting progress immediately, SFA's annual report for FY 2000 will specify exactly what unit cost reductions have been made in which business processes to total the $18 million reduction in operating expenses. Note that SFA has a double incentive to create these savings: first, to live up to this down payment pledge and second, to fund the Systems Modernization Blueprint on which future success is dependent. For FY 2001, SFA is expected to reduce costs by 3 percent.

Figure 3.3.b.1



**Source:** PBO 5-Year Performance Plan. *Frequency:* N/A. ***Next Update:*** Reviews of unit costs at business process level will performed continuously after the interim cost system is put in place in the spring of 2000. **Validation procedure:** New Measure for FY 2000. No formal verification procedure applied. **Limitations of data and planned improvements:** Actual expenditures differ from appropriated funds because some appropriated funds span multiple fiscal years.

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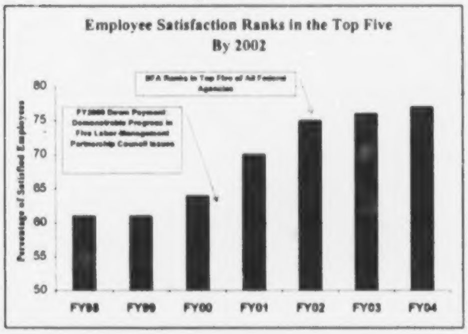
## Indicator 3.3.c. Improve SFA's ranking of employee satisfaction in the Office of Personnel Management's (OPM) and National Performance Review's (NPR) Employee Opinion Survey from 33rd to one of the top five by FY 2002.

**Assessment of Progress.** Unable to judge progress toward this goal, as it is a new measure for FY 2000. Employee satisfaction is a high priority because top businesses have found that good service and cost control happen only when everyone—not just the boss—applies energy and creativity to those same goals.

To hasten improvement in this indicator for FY 2000, SFA will make a down payment by picking five big issues that our Labor-Management Partnership Council identifies and make demonstrable progress on those five issues this year. For FY 2001, SFA is anticipating improvement from the 1999 baseline and 2000 result (not yet conducted).

Figure 3.3.c.1



**Source:** National Partnership for Reinventing Government Survey. *Frequency:* Annual. *Next Update:* January 2001. **Validation procedure:** New Measure for FY 2000. No formal verification procedure applied. **Limitations of data and planned improvements:** None noted.

## How We Plan to Achieve Our Objective

### How ED's Activities Support the Achievement of This Objective

- **Increase customer satisfaction.** A few major initiatives for each of SFA's customer segments are provided below. A more complete list can be found in Appendix A of the 5-Year Performance Plan.

  **Students—**
  - Establish one toll-free number for "one call" student customer service (by September 2000).
  - Enable students to correct additional Free Application for Federal Student Aid (FAFSA) errors through the Internet (by September 2000).
  - Work with the IRS to participate in a pilot test of electronic matching of income data with the ultimate goal of simplifying processes (by September 2000).
  - Create a new high-quality SFA Web site linked to the Access America Web site and the Department's "Think College Early" Web site. Pending OMB guidance, link to appropriate Web sites in the education community (by September 2000).

  **Schools—**
  - Assign each school a contact point who will be a part of a Customer Service Team with the know-how and authority to solve problems with one call (by July 2000). The contact point for institutions will respond to an institution's inquiry within 48 hours.
  - Allow schools to download all SFA software and materials through the SFA Web site (by April 2000).
  - Electronically process official cohort default rate appeals based on new data (by September 2000).

  **Financial Partners—**
  - Assign each financial partner a contact point within a customer service team with the know-how and the authority to get questions answered and problems solved (by January 2000).
  - Continue to work with guaranty agencies and lenders to improve the quality of data in NSLDS.
  - Join current guarantor and lender groups or establish Partnership Council Teams with guaranty agencies and lenders and to develop guiding principles of quality service, training and technical assistance materials, performance data for benchmarking purposes, and common standards and operating rules to simplify transactions and to address issues to improve service to students (by June 2000).

  **Key Internal Performance Measures—**
  - Ensure call center (1-(800)4FEDAID) answers 95 percent of all phone calls.
  - Process loan consolidations in 60 days or less.
  - Process FAFSA within an average turnaround time of 8 days or less.
  - Resolve 90 percent of school audits within 6 months of receipt (current baseline is 82 percent).
  - Process Pell origination and disbursement records within 24 to36 hours (current baseline is 3 days).
  - Process 95 percent of school recertifications within 120 days of receipt (current baseline in 42 percent).
- **Decrease unit costs**. Major initiatives that will help reduce unit costs are listed below. Cost reductions will focus on improving processes to make them more efficient, but also on reducing one of the major costs of the financial aid programs—loan defaults.
  - Increase the number of FAFSA's filed electronically from 3 million to 4 million in FY 2000.
  - Work with financial partners to create programs to continue to reduce the lifetime default rate of Federal Family Education Loan Program (FFELP) loans (by September 2000).
  - Increase the default recovery rate for loans in default held by guaranty agencies (by September 2000).

  - Reduce overall volume-adjusted operating costs for systems migrated to the consolidated data center by 10 percent (by September 2000).
  - Achieve 90 percent of the annual major modernization milestones that have been approved by the Information Technology Investment Review Board (by September 2000).

  **Key Internal Performance Measures—**
  - Keep Cohort Default Rate under 10 percent (current baseline is 8.8 percent).
  - Keep the Default Recovery Rate at 10 percent or higher. (current baseline is 10.5 percent)
- **Increase employee satisfaction.** Initiatives to increase employee satisfaction are:
  - Survey all SFA employees to determine their top five issues for implementing.
  - Determine how these top five issues will be implemented by December 2000.
  - Determine how these top five issues will be tracked.
- **Implementation of the modernization Strategy**

  To achieve better service at lower costs, as well as the statutory requirements detailed in the PBO legislation, SFA must integrate and modernize its existing stovepiped, mission-critical databases. The System Modernization Blueprint provides a mechanism for accomplishing this task. Borrowing from the best practices in the financial sector, SFA will use middle ware to create applications that are focused on each customer channel and draw from common data that are stored only once. The Blueprint spells out projects to put in place in a modular fashion and the appropriate timing or sequencing for accomplishing activities.

## How We Coordinate with Other Federal Agencies

1999-00 Data Matches

- selective service match—Records that meet the criteria for required Selective Service registration are sent to Selective Service to determine whether the applicant has registered as required.
- selective service registration—Applicants who request registration via their financial aid application or Student Aid Report (SAR)/Institutional Student Aid Report (ISIR) are sent to Selective Service for registration.
- immigration and naturalization service (INS)—Applicants who have indicated that they are eligible noncitizens are sent to the INS contractor for matching against the INS database, using the alien registration number.
- social security number match—All applicant records received are matched against the Social Security Administration database for two purposes. First, to verify the Social Security Number reported by the applicant and second, to verify citizenship.
- national student loan data system—All applicant records are matched against the National Student Loan Data System to determine if the student is currently in default on a Federal loan.
- veterans affairs match—Applicants who have indicated they are veterans are sent to the VA for matching against the VA database to confirm their veteran status.
- treasury offset program—A list of defaulted accounts are sent to the Department of Treasury, where they are matched against potential refund payments.

Additional Matches for 2000-01:

- prisoner match—All applicant records received will be matched against the Social Security Administration database to determine if the applicant is a prisoner at a state, local, or Federal facility.

- date of death—All applicant records received will be matched against the Social Security Administration database to determine if the applicant is using the social security number of a deceased person.

The internal matches performed currently include the following:

- verification hold file—Contains Pell Grant recipients referred to ED for possible overpayment or data verification fraud investigation.
- drug abuse hold file—Contains records supplied by the Department of Justice of persons who have been denied Federal benefits as a result of drug abuse convictions.

## Challenges to Achieving Our Objective

Because this objective involves primarily internal ED initiatives, there are no external factors that should affect achievement of the objective.

## Objective 3.4: All educationally disadvantaged adults can strengthen their literacy skills and improve their earning power over their lifetime through lifelong learning.

### National Need

**National Concerns.** Educationally disadvantaged adults are individuals with no high school diploma or equivalent, or whose native language is other than English and who need of basic literacy skills. In 1992, the National Adult Literacy Survey found that approximately 40 million to 44 million individuals aged 16 and older (out of a total adult population of 164 million) scored at the lowest level of literacy skills. We can see the effect of that skill gap today. Large numbers of employers report difficulty in finding workers with the necessary combination of academic, technical, and interpersonal skills—especially in high-tech fields. The income gap between those with a good education and those without has been increasing for 20 years. Objective 3.4 focuses on providing adults with educational opportunities and transitions to work—through adult basic education or vocational rehabilitation—to acquire the skills and knowledge needed for their careers and to increase the number of their productive years. In addition to benefiting the individual worker, the economy as a whole will be strengthened through the creation of a more flexible, literate, and highly trained workforce.

**Our Role.** The Department of Education supports lifelong educational opportunities to improve the literacy and academic and technical skills of educationally disadvantaged adults across the country. The objectives are to be achieved through a number of programs authorized by the Workforce Investment Act Titles II and IV (the Adult Education and Family Literacy Act and the Rehabilitation Act Amendments, respectively), Higher Education Act Title IV, and Carl D. Perkins Vocational and Technical Education Act, among others. These programs:

- Assist states and local providers with the delivery of adult basic education, English as a Second Language (ESL), and adult secondary education services to adults without a high school diploma or equivalent to help them improve their basic literacy skills;
- Assist states and community rehabilitation providers in providing training and other services leading to quality employment outcomes for individuals with disabilities;
- Provide tax credits and student grants to individuals enrolling in an institution of higher education (see Objective 3.2);
- Fund vocational and technical education programs at the postsecondary level (see Objective 1.2);
- Conduct research and evaluation on effective methods for improving the educational and employment outcomes of individuals participating in these programs.

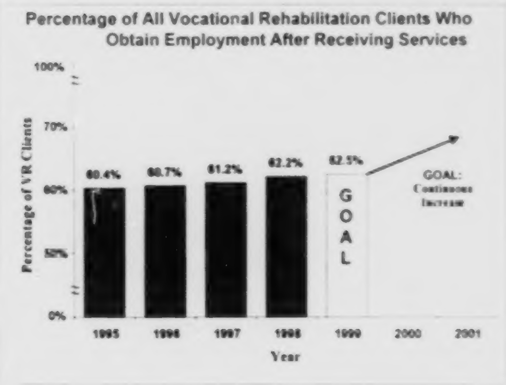
### Our Performance

**How We Measure.** Indicators of lifelong learning include measures of the effects of Federally funded programs on encouraging adult literacy and employment. They include the percentage of persons with disabilities who receive vocational rehabilitation services and then obtain and maintain employment, the percentage of adults at the lowest levels of literacy being served in adult basic education, and the percentage of those adults who acquire a basic level of literacy.

## Indicator 3.4.a. In vocational rehabilitation, the percentage of all persons who obtain employment after receiving vocational rehabilitation services will be maintained at 61 percent.

**Assessment of Progress.** No 1999 data are available, but progress toward target is likely. Vocational Rehabilitation (VR) state grants provide services to help persons with disabilities prepare for and engage in employment to the extent of their capabilities. The program includes services such as vocational evaluation, counseling, mental and physical restoration, education, vocational training, work adjustment, job placement, and post-employment services. Priority is given to serving individuals with the most significant disabilities. In recent years, the percentage of individuals with significant disabilities as a proportion of all individuals achieving an employment outcome has risen; the cost of rehabilitating individuals with significant disabilities has been consistently higher than for other individuals with disabilities. As a group, persons who achieve employment as a result of VR services show gains in their ability to function in economic terms. Figure 3.4.a.1 shows that the percentage of VR clients who achieve an employment outcome is continuing to increase.

Figure 3.4.a.1

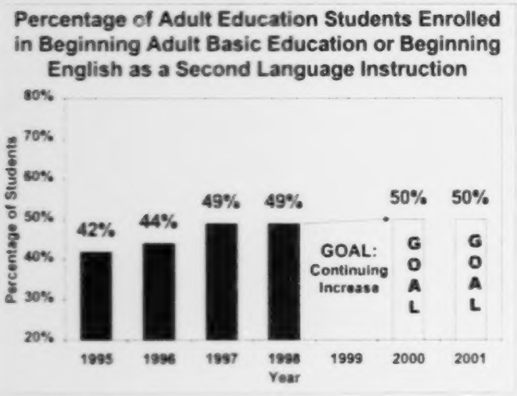


**Source:** Rehabilitation Services Administration (RSA) state data. *Frequency:* Annual. *Next Update:* Late 2000. **Validation procedure:** Future routine monitoring and onsite reviews of Vocational Rehabilitation programs will specifically address procedures to verify grantee reports. **Limitation of data and planned improvement:** Data are reported by the states and are not independently verified.

## Indicator 3.4.b. By fall 2000, adults at the lowest levels of literacy (those in beginning Adult Basic Education and beginning English as a Second Language) will make up comprise 50 percent of the total National enrollment.

**Assessment of Progress.** Data show a positive trend toward target. No 1999 data are available, but continuous progress was made between 1995 and 1998, making further progress likely. Consistent with its predecessor law, the new Adult Education and Family Literacy Act emphasizes serving the most educationally disadvantaged adults. For example, a state's needs assessment must include individuals most in need or hardest to serve. And, in making subgrants, states are to consider the applicant's past effectiveness in improving the literacy skills of those adults with the lowest levels of literacy. Figure 3.4.b.1 underscores the importance of targeting services to an increasing percentage of educationally disadvantaged learners in the adult education system, despite the fact that it may be more difficult and time-consuming to achieve outcomes for this population than for other adults in the system who have slightly higher skills.

Figure 3.4.b.1

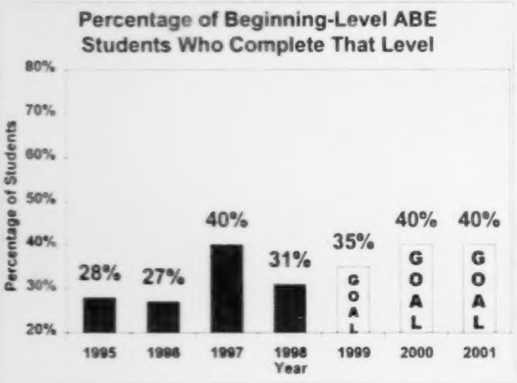


**Source:** Adult Education Management Information System. *Frequency:* Annual. *Next Update:* Late 2000. **Validation procedure:** The data provided prior to 1998 were verified by onsite monitoring and review and internal review procedures. The 1998 data were verified by the U.S. Department of Education data quality attestation process and ED *Standards for Evaluating Program Performance Indicators*. **Limitations of data and planned improvements:** As a secondary recipient of this data, the Office of Vocational and Adult Education (OVAE) must rely on states and local service providers to collect and report data within published guidelines. Starting with the July 1, 2000 reporting period, new data collection and reporting protocols will be implemented. These protocols include standardized data collection methodologies and standards for automated data reporting. Additionally, OVAE is developing a data quality validation process for states based on the ED's *Standards for Evaluating Program Performance Data*.

## Indicator 3.4.c. By 2000, 40 percent of adults in beginning-level Adult Basic Education programs will complete that level and achieve basic skills proficiency.

**Assessment of Progress.** No 1999 data are available, but progress toward its target is likely. Figure 3.4.c.1 shows that although the trend line has fluctuated over the past 4 years, the overall trend has been a positive movement toward the target. Adults who enroll in Adult Basic Education (ABE) at the beginning level tend to be the most educationally disadvantaged, with literacy skills roughly below the sixth-grade level. The performance data reflect the percentage of low-literate adults who demonstrated a level of educational progress needed to advance to the next educational functioning level. Educational functioning levels are arranged in a hierarchy from beginning literacy through high school completion. Currently, fewer than one-third of adults who enroll in beginning-level ABE in a given year complete that level within the year. Building on the previous indicator, this indicator stresses that it is not sufficient to ensure that educationally disadvantaged adults simply have access to appropriate adult education programs. The programs must be of sufficient quality to ensure that these learners succeed in them.

Figure 3.4.c.1

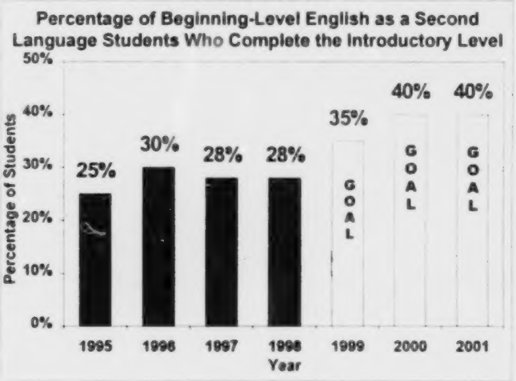


**Source:** Adult Education Management Information System. *Frequency:* Annual. *Next Update:* Late 2000. **Validation procedure:** The data provided prior to 1998 were verified by onsite monitoring and review and internal review procedures. The 1998 data were verified by the ED data quality attestation process and ED *Standards for Evaluating Program Performance Indicators*. **Limitations of data and planned improvements:** As a secondary recipient of this data, the Office of Vocational and Adult Education (OVAE) must rely on states and local service providers to collect and report data within published guidelines. Starting with the July 1, 2000 reporting period, new data collection and reporting protocols will be implemented. These protocols include developing standardized data collection methodologies and standards for automated data reporting. Additionally, OVAE is developing a data quality validation process for states based on ED's *Standards for Evaluating Program Performance Data*.

## Indicator 3.4.d. By 2000, 40 percent of adults in beginning English as a Second Language will complete the introductory level and achieve basic English literacy.

**Assessment of Progress.** No 1999 data are available, but progress toward target is likely. Figure 3.4.d.1 reflects the percentage of beginning-level English as a Second Language (ESL) learners (adults with minimal or no English language skills) who demonstrated a level of English proficiency needed to advance to the next educational functioning level. Educational functioning levels are arranged in a hierarchy from beginning ESL through advanced ESL. Well over half of all ESL learners enroll at the beginning level, but less than one-third of these students complete that level each year. This indicator highlights the importance the Department places on ensuring that English language and literacy instruction provided through Federally funded Adult Education programs is of high quality and leads to significant learner outcomes.

Figure 3.4.d.1



**Source:** Adult Education Management Information System. *Frequency:* Annual. *Next Update:* Late 2000. **Validation procedure:** The data provided prior to 1998 were verified by onsite monitoring and review and internal review procedures. The 1998 data were verified by the U.S. Department of Education data quality attestation process and ED *Standards for Evaluating Program Performance Indicators*. **Limitations of data and planned improvements:** As a secondary recipient of this data, the Office of Vocational and Adult Education (OVAE) must rely on states and local service providers to collect and report data within published guidelines. Starting with the July 1, 2000 reporting period, new data collection and reporting protocols will be implemented. These protocols include standardized data collection methodologies and standards for automated data reporting. Additionally, OVAE is developing a data quality validation process for states based on the ED's *Standards for Evaluating Program Performance Data*.

## How We Plan to Achieve Our Objective

### How ED's Activities Support the Achievement of this Objective.

- **Strengthening accountability.** The Office of Vocational and Adult Education (OVAE) is continuing development of an outcome-based National Reporting System (NRS) for the state-administered, Federally funded adult education program. Using a common set of outcome measures and uniform data collection system, the NRS will measure and document learner outcomes resulting from adult education instruction. The collection of state outcome data will enable states to correlate effective practices and programs with successful outcomes and will also assist states in assessing progress in meeting their adult education goals. For local providers, the NRS will help instructors and administrators plan instructional activities and services to enhance student outcomes. The Rehabilitation Services Administration (RSA) has implemented strategies to improve the effectiveness of its program monitoring, including a new state monitoring system based on performance outcomes and meetings with program stakeholders to gather input on how it can enhance the utility of its monitoring reports. In addition, the reauthorized Rehabilitation Act (Title IV of the Workforce Investment Act) provides greater access to training and employment services, enhances consumer choice in the Vocational Rehabilitation (VR) State Grants program, streamlines the state VR service delivery system, and improves program accountability.

- **Using technology to improve instruction and program administration.** OVAE will continue to support a multiyear initiative to extend access to adult basic education and literacy services to adult learners within their homes, workplaces, and communities. Included among projects being supported are the following: 1) Cyberstep, a collaborative effort among five literacy service innovators to create high-quality multimedia instructional materials, including print, video, CD-ROM, Internet, and Web TV components; 2) LitKit, a multimedia CD-ROM training kit for adult literacy staff development; and 3) External Diploma Program On-Line, a project to adapt the traditional external degree program to an electronic format that adult learners can access on the Internet. OVAE is continuing its support of the Crossroads Café II-Family Literacy Project. Crossroads Café II will produce 26 videos, 30 minutes each, suitable for television broadcast, use in a literacy program, or use at home by adult literacy learners.

- **Improving program performance.** The English Literacy and Civics Education Demonstration Grants Program will help states and communities provide limited English proficient adults with expanded access to high-quality ESL programs linked to civics and life skills instruction on understanding and navigating our government system, the public education system, workplace, and other key institutions in American life. In addition, the Department is conducting the National evaluation studies of "What Works" in adult basic education and ESL programs. The purpose of these studies is to assess the effectiveness of instructional techniques and program practices developed to serve ABE and ESL learners. Results of the studies will be used to develop indicators and establish benchmarks of program effectiveness. To better serve a growing population of adults in the Federally supported adult education and literacy program, OVAE is developing a project to improve the system's ability to teach adults with learning disabilities. The learning disabled have specific difficulties with basic language-learning processes that affect their ability to acquire competence in reading, spelling, and writing. In addition, OVAE is planning to become a partner with the Office of Juvenile Justice and Delinquency Prevention in the U.S. Department of Justice and the Office of Special Education and Rehabilitative Services to create a National research center concerning juvenile offenders with learning and other disabilities. OVAE's research interest focuses on the delivery of improved literacy and transition services to incarcerated young adults.

- **Increasing public awareness.** OVAE initiated a project with the U.S. Conference Board to demonstrate to employers, unions, and employees the economic benefits of improving workers' literacy skills to enhance workplace performance. Major project achievements include the release of a publication titled *Turning Skills into Profit: Economic Benefits of Workplace Education Programs.* OVAE plans to support the creation of a National project called the High Skills Communities Initiative, a recognition program to acknowledge communities for their local capacity building efforts around adult education and literacy.

- **Providing technical assistance and training.** To equip both state and local level adult education administrators, OVAE plans to support a professional development initiative designed to help state and local staff implement continuous program improvement strategies and to meet the accountability requirements of the Workforce Investment Act (WIA). Planned activities include the development of the following: 1) a university-based Executive Leadership Training Institute; 2) a listserv focused on program management issues; 3) a Web site on professional development issues and resources; and 4) a state administrators national forum. The Teacher Standards and Certification/Professional Development Initiative represents a major focus to strengthen the instructional skills of adult basic education teachers and to broaden the range of current instructional resources available to them.

- **Improving employment opportunities for individuals with disabilities.** RSA will work with other agencies to fund grants to assist state and local consortia to identify and work toward eliminating barriers to employment for individuals with disabilities. The Department will use the $2.4 billion request for Vocational Rehabilitation State Grants to support education and employment-related services, including vocational training and job placement. In addition, RSA will issue performance standards to increase accountability of state VR agencies in assisting individuals with disabilities to achieve high-quality outcomes.

- **Providing access to assistive technology for individuals with disabilities.** RSA will use $15 million of the request for the Assistive Technology Program to support grants to states to establish alternative loan programs enabling individuals with disabilities to borrow funds to purchase assistive technology. In addition, RSA plans to target $13.5 million of the request for the National Institute of Disability and Rehabilitation Research to support research and demonstration activities that will increase the accessibility of information technology, telecommunications, and assistive technology.

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## How We Coordinate with Other Federal Agencies

- **Coordinate program administration** in the following areas: implementing the Lifetime Learning tax credit (Department of the Treasury); providing appropriate School-to-Work transition services for students with disabilities (Department of Labor and the National School-to-Work Office); implementing the Ticket-to-Work and Work Incentives Improvement Act of 1999 (Social Security Administration); and implementing the Workforce Investment (Department of Labor).

- **Create a national research center** focusing on juvenile offenders with learning and other disabilities (Department of Justice).

- **Address disincentives to work** that affect Social Security Administration beneficiaries (Social Security Administration).

- **Increase access to educational services** for clients of the Temporary Assistance for Need Families (TANF) Program (Department of Health and Human Services).

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## Challenges to Achieving Our Objectives

The target for Indicator 3.4.a. is based on the receipt of sufficient funds to at least maintain current services in the VR State Grants Program. The Rehabilitation Act requires a state VR agency to implement an approved order of selection if it cannot serve all eligible individuals and serve first those persons with the most severe disabilities. About half of the state VR agencies are operating under an order of selection. We expect the number of persons with significant disabilities served by the VR Program to continue to rise as a result of recent amendments that streamline VR eligibility requirements for Social Security beneficiaries.

Indicators 3.4.c. and 3.4.d. target the most educationally disadvantaged adults, including those with learning disabilities and English as a Second Language (ESL) learners who have limited literacy skills in their native language. Providing services that produce literacy gains for these adults is challenging, but the Department is pursuing a number of strategies targeting at this population. Studies of adult basic education and English as a Second Language identify effective instructional practices and ensure a more effective diagnosis of learning disabilities.

# Goal 4. Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction.

The Department's fourth goal, "Make ED a high-performance organization by focusing on results, service quality, and customer satisfaction," cuts across all programs and is critical to all goals and objectives described in ED's Strategic Plan. Goal 4 is organized around seven key objectives: customer service, flexibility of programs, research, technology, employee development, financial management, and performance measurement.

This year's Plan and Report reflect a focus on anticipating the needs of external and internal customers, and a commitment to investing in the training and technology available to the Department's employees so that better products and service will be provided to state and local education officials, students, teachers, parents, and other customers of the Department. To achieve our goal of making ED a high-performance organization, we are further clarifying the Department's goals and improving our ability to measure our performance. Each year the Department plans to be able to point to improvements in its delivery of services and in employees' perceptions about work readiness, performance, equity, and workplace services.

Additionally, the Department will continue to build on its successes in using technology to improve the quality and timeliness of its products and services. These services include disseminating information and administering grants and loans. Within the Department, we will use technology to facilitate communication between employees about the quality of their work, the services they provide to customers, and the ways in which they are able to grow and develop professionally. The Internet offers tremendous opportunities for improvements in both our business processes and customer service. We will be taking advantage of these opportunities whenever possible.

Strategies in Goal 4 were developed from various sources: senior staff decisions, feedback from external customers, reviews of effective practices in management literature, reviews of successes achieved by government and industry, results of employee surveys, and reports from the General Accounting Office (GAO) and the Office of the Inspector General (OIG). We report our plans and progress on the following seven objectives:

**Objective 4.1: Our customers receive fast, seamless service, and dissemination of high-quality information and products.** During 1999, the Department improved its ability to deliver high-quality information services through its toll-free phone numbers and Web site, and by ensuring that customers with disabilities have access to services and information. The Department received three of the Vice President's Hammer Awards for customer service activities, increased its services to Spanish-speaking members of the public, and streamlined its phone services in the student financial aid area.

**Objective 4.2: Our partners have the support and flexibility they need without diminishing accountability for results.** During 1999, the Department continued to reduce its regulatory and paperwork burden on grantees and other customers without reducing the level of program performance. The implementation of ED-Flex, in which states receive greater freedom from regulations in exchange for instituting statewide standards, is a significant accomplishment. During 2000, the Department will continue to emphasize the concept of flexibility with accountability in the delivery of services; write regulations and policies in plain English; integrate program review and technical assistance across "stovepipe" programs; and build partnerships, where possible, to achieve critical program results.

**Objective 4.3: An up-to-date knowledge base is available from education research to support education reform and equity.** During 1999, the Department made substantial progress on directing resources to research on achieving national education priorities. A critical element of educational success is a rigorous knowledge base to support systemic education reform and equity. A targeted research agenda, high-quality research, and useful, customer-oriented findings and products are necessary for a sustained knowledge base. The Department of Education supports research primarily through the Office of Educational Research and Improvement. Key strategies include forming partnerships with other agencies to conduct cutting-edge research and focusing research on solving critical problems in educational policy and practice.

**Objective 4.4: Our information technology investments are sound and used to improve impact and efficiency.** In addition to improving student financial aid administration (see Goal 3), the Department is continuing to expand its Internet presence (for external customers) and its Intranet (for internal users) to improve workflow processes and communications. During 1999, the Department received one of the Vice President's Hammer Awards for our accomplishments in the area of area of assistive technology, All of ED's information technology (IT) systems had a successful Y2K conversion.

**Objective 4.5: The Department's employees are highly skilled and high-performing.** During fiscal year 1999, ED's approach to management development training was overhauled, and participating in 40 hours of continuing professional development became mandatory for all the Department's executives and managers. In addition, ED designed a 40-hour course emphasizing performance management for new supervisors and managers. In fiscal years 2000 and 2001, the Department will be identifying skill gaps and potential staffing shortages in critical education program areas. ED is developing a targeted recruitment strategy to attract highly qualified candidates to its staff.

**Objective 4.6: Management of our programs and services ensures financial integrity.** In fiscal year 1998, our general ledger software proved inadequate for the Department's needs. Creating temporary solutions will mitigate the current system limitations for fiscal year 2000 until a new system is in place. We expect the fiscal year 1999 financial statements to receive an "improved" rating and the fiscal year 2000 financial statements to receive an "unqualified." Replacement of the Department's general ledger software system and improvement of internal controls will help achieve reductions in material weaknesses and reportable conditions. Improvements will continue in the contracts and purchasing processes to support strategic Departmental objectives.

**Objective 4.7: All levels of the agency are fully performance-driven.** House staff gave ED's fiscal year 1999 Annual Plan the third highest rating among Federal agencies. During fiscal year 1999, we implemented the first phase of a data attestation process for our largest programs. This is part of our commitment to strategic planning processes and data integrity to ensure that the data provided by programs and offices are valid and can be relied on by policy makers, program administrators, and the Congress.

## Objective 4.1: Our customers receive fast, seamless service and dissemination of high-quality information and products.

### National Need

**National Concerns.** The Department's many customers look to our agency to provide services and products that support their education efforts. Whether they are state education agencies, teachers, parents, institutions of higher education, adult learners, school boards, school districts, principals, technical assistance centers, students at all levels, or others whom the Department serves directly or indirectly, our customers expect access to high-quality services, products, and information. We are committed to an active feedback process, which will enable us to have an ongoing dialogue with the American public and to respond to their needs. In response to Presidential Executive Order 12862: Setting Customer Service, the Department adopted standards focused on responsiveness to requests, providing information in alternative formats, and dissemination of timely and accurate information.

**Our Role.** Although the Department continues to serve the majority of our customers through state and local intermediaries, technology has allowed the Department to engage in more direct contact. Through the Internet and our front-line call centers, the Department is able to reach and serve more customers than ever before. The Department's role as a direct provider of services and products has and will continue to increase as we strive to identify and serve the needs of our customers.

Information call centers such as the Department's general information call center (1-800-USA-LEARN), the ED-Pubs call center (1-877-4ED-Pubs), and the student financial aid information call center (1-800-4FED-AID) continue to respond to numerous customer inquiries each year. We strive to provide useful and accurate information on demand, answer questions, and provide useful publications. We provide Braille and large-print publications, TTY access for individuals unable to use a phone, and videotapes of the Secretary of Education's town meetings. Our regional offices represent the Department to communities and at local meetings and communicate to the Department information about issues of local and regional interest.

### Our Performance

**How We Measure.** The four indicators for customer service describe ED's customer service activities, focusing on Web resources, call centers, and customer satisfaction. One of the most important aspects of this objective is the need to integrate customer service, not only into our most popular and used services, but throughout all of ED's activities. The indicators in this objective seek to track specific performance in increasing public access to information and increasing customer satisfaction with the Department's products, services, information, and assistance.

### Indicator 4.1.a. The Department continues to increase public access to information, as measured by Web site visits and number of customer inquiries at major front-line call centers.

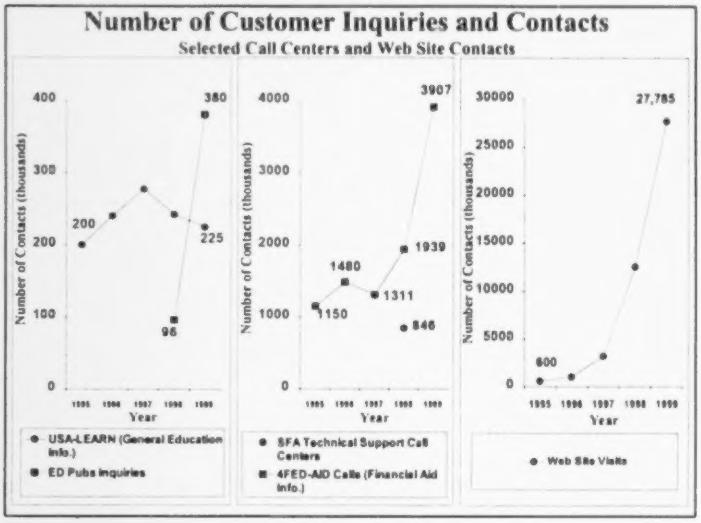
**Assessment of Progress.** The target has been met. Figure 4.1.a.1 shows that public access to ED information is increasing, and the volume of visits to the Department's Web site increases more than two-fold each year. The volume of inquiries received at the Department's major call centers has increased as well.

To address an increased number of inquiries from its Spanish-speaking customers, many of the Department's major call centers have hired bilingual staff. After a cross-agency team reviewed our inventory of Spanish-language materials, additional publications were developed and/or translated into Spanish.

The Student Financial Assistance programs have undertaken a new initiative, "One Call Does It All," to streamline its phone services to its customers. Among the first steps in this initiative is the centralized collection of data for the SFA Technical Assistance call centers. This collection reflects the combined efforts of more than 200 staff at five major call centers serving postsecondary educational institutions. It reflects our commitment to expand postsecondary access to the informational resources necessary to exchange data with student aid systems.

As expected, the USA-LEARN phone line had a 20 percent decrease in call volume since 1997 as publication requests have moved to the ED Pubs phone line.

Figure 4.1.a.1



**Source:** System-generated data. *Frequency:* Continuous. *Next Update:* MIS Reporting Cycle. **Validation procedure:** System reports cross referenced and fixed to billing records for review. **Limitations of data and planned improvements:** Web visits do not distinguish between repeat visitors and new visitors. We plan to increase capacity to keep up with growth in customer demand.

## Indicator 4.1.b. The Department will continue to increase customer satisfaction with Department products, services, and information.

**Assessment of Progress.** Progress has been mixed. While the Department continues to gather more qualitative data about customer needs and satisfaction, data from the Department's major customer points of contact (its Web site and front-line call centers) indicate that customers are generally satisfied with the Department's delivery of service, information, and products. Figure 4.1.b.1 shows that there has been a small drop in satisfaction scores of visitors to ED's Web site. We attribute the drop in the 1999 satisfaction score to the general increase in expectations among Internet users and a shift in survey respondents from administrator-managers and researchers to students and parents. We suspect that students and parents may react to the availability (or nonavailability) of aid, even though it is not a reflection of the Web site. This may yield a lower average satisfaction than the ratings from teachers and researchers, who seem to be pleased with the content of the site. While there has been a shift in the expectations and the profile of customers using the Department's Web site, it continues to receive high ratings in our annual Internet survey.

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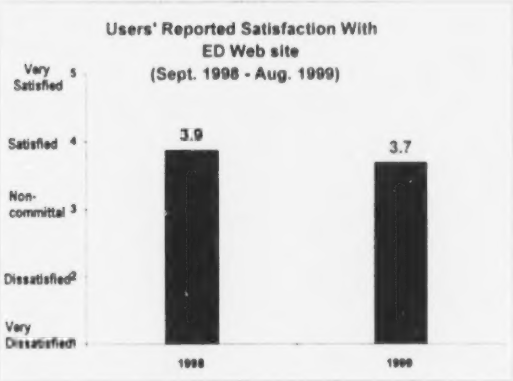
Figure 4.1.b.1



**Source:** National Library of Education. *Frequency:* Annual. *Next Update:* 2000. **Validation procedure:** System-generated data. **Limitations of data and planned improvements:** Data reported from self-selected respondents of visitors to the Department's Web site.

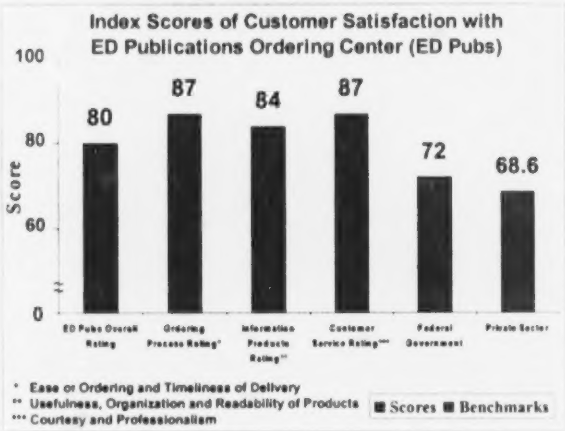
Upcoming improvements include addition of a site map, a tour of Department Web highlights for K-12 teachers; a page dedicated to Spanish-language resources; a page of key resources for parents, students, and teachers; and expansion of the Education Resource Organizations Directory to include curriculum materials, centers, and education libraries.

Although the Department's publications ordering center, ED Pubs, has been in operation for less than 2 years, customers rated its service and products above the National average for both the public and private sector in the first annual government-wide customer satisfaction survey.

In 1999, 29 Federal agencies (including the Department of Education) that provide more than 80 percent of the government's services participated in the first government-wide customer satisfaction survey. The American Customer Satisfaction Index (ACSI) is a well-respected approach to measuring customer satisfaction. The survey focuses on customers' expectations and perceived quality. Figure 4.1.b.2 shows that the private sector received an overall score of 72, and the Federal government received a score of 68.6. The Department's ED Pubs publications ordering call center received an overall satisfaction score of 80.

The Department's student aid information call center (1-800-4FED-AID) added an automated customer service survey to its phone number. The survey measures responses to questions (on a scale of 1 to 5 with 5 being high) about courtesy, speed of answer, and overall services. More than 85 percent of respondents rated the 1-800-4FED-AID call center as either a 4 or 5 in all three categories.

Figure 4.1.b.2



**Source:** First Annual Government-wide Customer Satisfaction Report. *Frequency:* Annual. *Next Update:* 2000. **Validation procedure:** Model used by the global accounting firm Arthur Andersen, the University of Michigan, and the American Society for Quality. **Limitations of data and planned improvements:** None noted.

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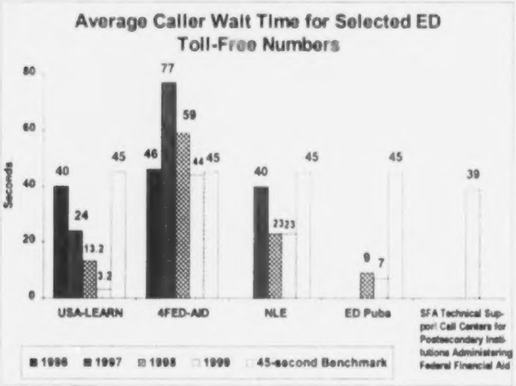
## Indicator 4.1.c. The Department's front-line call centers will provide prompt service to customers.

**Assessment of Progress.** The target has been exceeded. While customer demand has increased significantly in the last 3 years at the Department's major call centers, the amount of time a customer waits to speak with a Department customer representative has actually decreased.

Figure 4.1.c.1

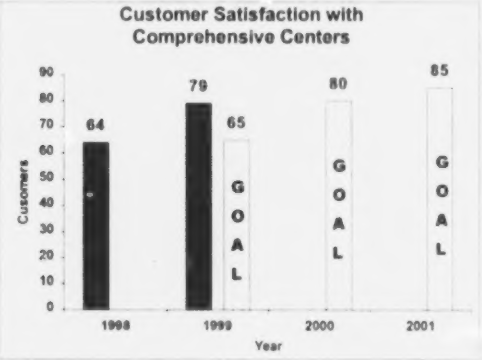


**Source:** System generated data. *Frequency:* Continuous. *Next Update:* Media and Information Services Reporting Cycle. **Validation procedure:** System reports are cross-referenced and are fixed to billing records for review. **Limitations of data and planned improvements:** Call wait time definition used by all call centers portrayed in this indicator is the amount of time a customer waits to speak with a customer service assistant after the customer selects the prompt to speak with a customer service assistant.

## Indicator 4.1.d. Surveys of states and school districts will increasingly rate the Department's technical assistance, including assistance from the Comprehensive Centers and integrated reviews, as very useful in improving their performance.

**Assessment of Progress.** Target exceeded. Satisfaction with the usefulness of technical assistance provided by the technical assistance centers has continued to increase. This is a function, we believe, of more closely coordinating the centers' activities with the ED Strategic Plan so that the Department sends a more consistent message to our customers. We also have been focusing on developing a national capacity in which all the components of our technical assistance networks function together instead of as isolated parts. In 1999, 14 integrated state reviews were conducted using a new protocol. Representatives of 13 states gave the integrated review a 4 on a scale of 1 to 5, where 5 is most satisfactory. The new protocol appears to be a major success. See also the positive performance of the laboratory network reported in Goal 4.3.

Figure 4.1.d.1



**Source:** Report on Center evaluation 1999. *Frequency:* Annual *Next Update:* 2000 **Validation procedure:** Data reviewed by contractor and ED staff. **Limitations of data and planned improvements:** Data from 1998 are responses from state and Federal program administrators. Data from 1999 are responses from state and local program administrators.

## How We Plan to Achieve Our Objective

### How ED's Activities Support the Achievement of This Objective.

To ensure that customers have easy access to Department information and products, the Department has adopted the strategies of equipping our employees with the resources they need to serve our customers, promoting accountability for customer service performance, improving our systems that allow our customers to have easy access to products and information, increasing our use of customer feedback for improving systems and processes, and addressing the needs of customers with disabilities.

In 1999, the Department received three of the Vice President's Hammer Awards. The Information Resource Center received the award for providing the public with easy access, through its 1-800-USA-LEARN number, to quality information and friendly services and for helping the Department and its private- and public-sector partners to engage the public in improving education across America. The Department's Satellite Town Meeting received its Hammer Award for being the only ongoing forum where any member of the public can call in and ask a question of a cabinet secretary, and for its ability to share best practices, successful programs, and innovative education projects. The Department's publication ordering center, ED-Pubs, received the Hammer Award for providing customers with one-stop service for ordering all of the Department's publications. We will build upon these successes in the following ways:

- **Equip employees with the resources they need to respond to customer requests.**
  - To help Department staff directly serving the public, the Department will continue developing its Front Line Forum. The Forum will allow employees to engage in discussions about challenging customer service issues, review updated information, and facilitate the use of new online tools and customer feedback. The initial development of the Front Line Forum began in the fall of 1999 by bringing managers and staff from services across the agency together, many for the first time.
  - To provide managers with the additional resources they need to focus on customer needs, we are developing a Customer Service Best Practices Intranet site that includes internal and external models.

- **Promote commitment and accountability for customer-focused performance among ED managers and staff.**
  - To guide managers in identifying and meeting customer needs with their staff, we will complete the development of *Customer Focus: A Manager's Guide to Action Planning*.
  - We will aid managers in conducting customer-focused conversations with staff by creating a new customer service toolkit for managers.

- **Continuously improve systems that allow customers to easily obtain materials, services, and information products.**
  - We are developing subject-specific mini-catalogs that target a specific area of interest for the ED-Pubs System. In addition, a mini-catalog of ED's most popular titles in alternate formats is also being prepared.
  - To increase availability and reduce cost, we are establishing a listserv to forward electronic notification of newly available publications and/or electronic copies of publications to a mailing list of people who have indicated an interest in receiving news and/or products electronically.

- **Ensure that customers with disabilities have access to services and information.**
  - We are continuously ensuring that customers have access to the information and services they need in the ways that they need them, including live service and self-service, convenient hours, bilingual staff and Spanish menu prompts, TTY access, and products in Braille and large print. We continue to operate the Alternate Format Center to produce materials in Braille and audiotape and have expanded capacity to include limited production of large-print documents.
  - Implemented NexTalk, a computer-based networked TTY system in 15 offices, including the major call centers for student loans, ED information, civil rights enforcement, and rehabilitation

services, as well as on internal customer service lines such as the computer help desk and budget services. A total of 223 employees now use the networked TTY system.
  - In FY 2000, ED will continue to use the Alternate Format Center to fulfill customer requests for materials in Braille, audiotape, and large print. The NexTalk TTY system will be introduced to an additional 300 employees. Disability access training will continue to be offered, and an estimated 200-300 additional employees will receive it. Assistive-listening systems will be purchased and installed in all 10 regional offices to provide access for hard-of-hearing customers.
  - The Department provided disability access training to 237 employees, including staff in eight regional offices. The training included information on how to provide customer service for customers with disabilities.
  - The Department purchased and installed assistive-listening systems that can be used for ED events in all headquarters offices. It also continued to provide sign-language interpreters and real-time captioning on request for all ED-sponsored events in headquarters and regions.

- **Develop a system for using feedback to improve customer service.**
  - To ensure consistency in our measurement and reporting of call center satisfaction, we will introduce an automated customer-quality survey system into some of ED's call centers.
  - To ensure that timely and useful information is available to ED managers, we are incorporating customer-satisfaction measures into key policy and organizational activities and preparing an annual report on customer satisfaction by key customer groups (e.g., teachers, grantees).
  - To ensure that appropriate resources are devoted to customer satisfaction within the Department, a measure of progress on customer satisfaction will be included in the performance agreements of senior officers.
  - To ensure that continuous and timely information about grantee performance is available to ED program managers, a customer survey will be included as part of our system of electronically transmitted grantee performance reports.
  - To develop and redesign products to better meet the needs of ED's customers, ED-Pubs will use Customer Satisfaction Survey feedback forms extensively.
  - As a part of its One Call Does It All initiative, the Schools Channel of Student Financial Assistance has formed workgroups to establish new benchmarks for its call center operations and to set uniform standards for service levels. When these standards are set, it is likely they will have a significant effect on the call center data for the year 2000.

## How We Coordinate with Other Federal Agencies

Many state and local education agencies look to the Department of Education (ED) for help with their various education needs. To help our customers with the service, information, and products they need, ED collaborates with many other Federal agencies. A few of these collaborations include:

- **National Partnership for Reinventing Government (NPRG).** ED continued to work NPRG to network with other Federal agencies on best practices for customer service delivery.

- **Federal Resources for Educational Excellence (FREE).** FREE was created in response to the Presidential Directive for a single entry point for computerized Federal government information. ED plays a leadership role in coordinating the activities of more than 30 Federal agencies.

- **Interagency collaboration.** One of the most important ED Interagency collaborations is the Federal Support to Communities Initiative aimed at helping children and parents during after-school hours. The Initiative is housed and supported by the National Partnership for Reinventing Government (NPRG) and is governed by an executive committee of representatives from 15 Federal agencies. ED and DOJ have developed, published, and widely disseminated *Safe and Smart: Making the After School Hours Work for Kids*, which provides research evidence for the effectiveness of after-school programs. ED has collaborated with the USDA to ensure that 21st Century program grantees are knowledgeable about available food subsidies for which they are eligible.

- **Federal Publisher's Committee.** Continue work with the Federal Publisher's Committee to keep ED aware of the changes in the printing requirements and printing technologies for government agencies.

- **Government Printing Office (GPO) Depository Library System.** To keep our information and publications available to all customers, ED continues to work with this library system to ensure that all ED documents printed by GPO are deposited in the public domain for use by all taxpayers and citizens. We are currently looking, with GPO, at how non-print documents will be captured for public distribution and access through the Depository Library System and are considering replacing microform versions of documented with electronic versions for better access by depository libraries and their customers.

- **General Services Administration's Consumer Information Center (CIC).** ED will continue work with the CIC to develop, promote, and distribute ED publications to the public.

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## Challenges to Achieving Our Objective

Customer preference for printed products still remains high. The Department will need to produce documents in dual formats during this time of transition from print to Web-based products. Web-based products are becoming more popular because of their greater flexibility (e.g., inserted links, search capabilities within a document). Because we recognize the potential in Web-based products, we are continuing to make all publications and products totally available, easily accessible, and printable off the Web.

Rapid increases in the introduction of new technology make it easier to provide better services to a greater number of customers. Electronic distribution of publications will enable the Department to provide increased numbers of products than was possible with print distribution.

## Objective 4.2: Our partners have the support and flexibility they need without diminishing accountability for results.

### National Need

**National Concerns.** When the Nation's governors met at the 1989 Education Summit at Charlottesville, Virginia, a top priority was to secure greater flexibility in the administration of Federal education programs in exchange for greater accountability for improved student achievement. The Department has worked hard to remove statutory and regulatory impediments to innovative education reforms, while continuing to ensure protection of basic civil rights and the proper expenditure of taxpayer dollars. Additionally, it is essential that we achieve improved service delivery to students through improved program effectiveness and compliance with Federal regulations, and increase understanding of audit requirements by state auditors. The 1994 reauthorization of the Elementary and Secondary Education Act (ESEA) significantly expanded opportunities for increasing both flexibility and accountability in the national education programs by allowing states to receive waivers of regulations if strong accountability mechanisms are in place. In addition, reengineering our grant system has increased the flexibility available to all grantees, including state agencies.

**Our Role.** ED administers the Education Flexibility Partnership Program (Ed-Flex), through which it grants Federal waiver authority to state education agencies (SEAs). This program is intended to allow states to waive certain Federal regulations or requirements, which may otherwise impede state efforts at comprehensive education reform. At the same time, Ed-Flex necessitates that strong accountability mechanisms be in place in order to ensure that the state be able to track and act upon the results and impacts of its reform efforts.

The Cooperative Audit Resolution and Oversight Initiative (CAROI) has successfully established networks of important Federal and state contacts to address issues and concerns in a flexible environment, strengthened state understanding of ED responsibilities, and avoided traditional time-consuming and resource-intensive audit resolution procedures.

The Office for Civil Rights (OCR) has established constructive and collaborative relationships with state and local education agencies to achieve the shared objectives of civil rights compliance and securing timely improvements for students. This too avoids the traditional and unproductive adversarial approach to addressing potential problems with states and local agencies.

### Our Performance

**How We Measure.** The following indicators measure the Department's progress in providing the support and flexibility customers need. Collectively the indicators show progress at varying levels in the areas of granting flexibility and increasing understanding of program rules and requirements, issuing grants on a timely basis, resolving audit issues with states, and dealing with affected agencies in civil rights cases.

### Indicator 4.2.a. Customers will increasingly report that they have greater flexibility and better understanding of the rules and requirements of education programs.

**Assessment of Progress.** Satisfactory progress. Overall, 72 percent of Title I districts surveyed reported that their flexibility in using Title I funds had increased since the 1994 reauthorization of Elementary and Secondary Education Act (ESEA). Figure 4.2.a.1 provides information on the impact of specific changes on flexibility.

Figure 4.2.a.1

**Extent to Which Districts Believe that Various 1994 Reauthorization Changes Increased Their Flexibility in Using Federal Funds (1997-1998)**

| | Not at All | Moderately | A Great Deal |
|---|---|---|---|
| Title I school-wide programs | 39% | 14% | 47% |
| Waiver of Federal education provisions | 61% | 31% | 8% |
| Consolidation of Federal administrative funds | 49% | 46% | 5% |
| Shift in accountability emphasis from procedural compliance to student performance | 12% | 32% | 56% |

**Source:** Study of Education Resources and Federal Funding, Planning and Evaluation Service. *Frequency:* One time. *Next Update:* N/A. **Validation procedure:** Data gathered by professional survey research firm. **Limitation of data and planned improvements:** None noted.

Waivers provide customers greater flexibility in administering Federal education programs. Since the reauthorization of ESEA in 1994, the Department has received 836 requests for waivers from SEAs and local educational agencies (LEAs) in 49 states as well as the District of Columbia, Puerto Rico, and the U.S. Virgin Islands. The number of waivers requested by SEAs and LEAs decreased steadily from 1995 to 1998, but increased by 34 percent in 1999 due to waivers related to the Class Size Reduction Act. Fifty percent of all waiver requests come from only seven states (in order of number of requests): Pennsylvania, North Carolina, California, Illinois, Florida, Hawaii, and Tennessee.

Of the 836 waiver requests received by the Department, 54 percent were approved and 10 percent were disapproved. The remainder were withdrawn. Waiver requests were typically withdrawn because districts learned that they had sufficient latitude under existing law to proceed without a waiver. Of the 533 for which ED took action, 446 were approved. This approval rate of 84 percent indicates that a significant amount of flexibility is available to states.

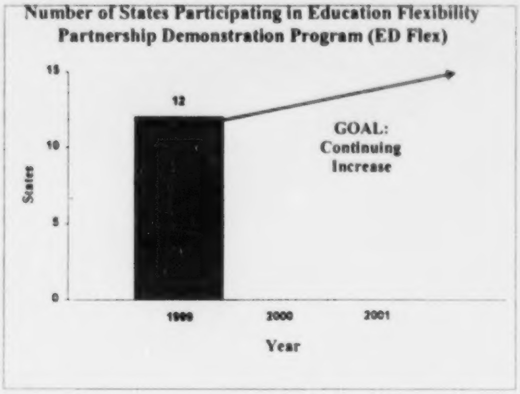
The Department has granted a total of 446 waivers since the implementation of the Federal waiver authorities. SEAs have received 135 waivers; the remaining 311 waivers have been granted to LEAs, representing just over 2 percent of school districts in the Nation. All waivers to date have been granted under the waiver authority in the Elementary and Secondary Education Act (ESEA), with the exception of one waiver related to the Perkins Vocational and Applied Technology Act which was granted under the Goals 2000 waiver authority in 1995. Recent studies show districts believe that the 1994 Reauthorization of the ESEA increased their flexibility in using Federal funds.

## Indicator 4.2.b. The number of states participating in Ed-Flex will increase.

**Assessment of Progress:** On target. The Education Flexibility Partnership Demonstration Program was originally established in 1994 as a part of the Goals 2000: Educate America Act. Initially, the Department was permitted to grant Ed-Flex authority to six state education agencies (SEAs) that met the eligibility requirements. In 1996, Ed-Flex was amended—along with other parts of Goals 2000—to allow the U.S. Department of Education to grant such authority to six additional eligible SEAs, for a total of 12 states. See Figure 4.2.b.1.

On April 29, 1999, President Clinton signed into law the Education Flexibility Partnership Act of 1999. The new Ed-Flex eligibility requirements are now extended to all states and are closely linked to the standards, assessment, and accountability requirements outlined in Title I of the ESEA of 1994. Under the Ed-Flex program, the SEA, rather than the U.S. Department of Education, has the authority to make decisions about whether particular school districts and schools should be granted waivers of certain Federal education requirements.

Figure 4.2.b.1



**Source:** Program files. *Frequency:* Continuous. *Next Update:* N/A. **Validation procedure:** Subject to internal controls. **Limitation of data and planned procedures:** None noted.

For those states that already have Ed-Flex status, the overwhelming majority of waivers have been used to permit otherwise ineligible Title I schools to implement school-wide programs. States have also used these Ed-Flex waivers to waive certain Title I targeting provisions. The Department has published guidance to assist states in preparation of applications for Ed-Flex. One state has submitted an application and several additional states have indicated their intent to submit applications soon.

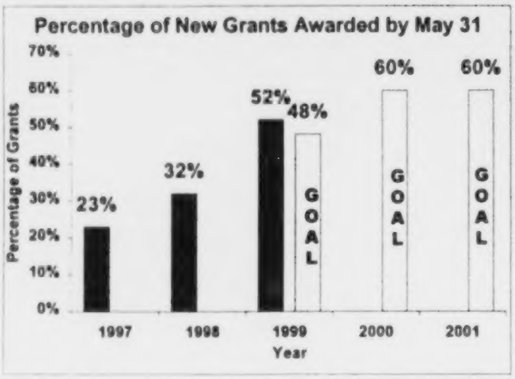
## Indicator 4.2.c. Timely review and award of grants will give greater support and flexibility to our partners' administration of their grant projects.

**Assessment of Progress**. Target exceeded. ED is committed to making new grant awards in a timely fashion so that grantees can plan for successful implementation of their programs. ED's goal is to award the majority of grants by May 31 each year through reengineering the grant-making process. Figure 4.2.c.1 shows that more than half of ED grants now meet this time schedule.

A significant achievement in speeding the grant-making process occurred through a successful collaborative effort between ED and the Office of Management and Budget (OMB). Before any information-gathering application is released to the public, it must be cleared by OMB. ED and OMB worked together to streamline and shorten the clearance process, with the goal of getting application packages to prospective recipients sooner.

ED's reengineered grant-making process cut the average review and award time from 26 weeks to 11.5 weeks. During the past 2 years, a substantial improvement in the ability of grantees to administer their projects more effectively was made possible through ED regulatory amendments. These amendments provide grantees much greater flexibility in such areas of post-award administration as determining project length and making necessary changes in their project budget.

Figure 4.2.c.1



**Source:** Self-reports from Principal Offices. Grants Administration Payment System Reports. *Frequency:* Monthly. *Next Update:* N/A. **Validation procedure:** Data are validated against data runs done by the Grants Policy and Oversight Staff from the Grants Administration and Payment System. **Limitations of data and planned improvements:** No significant limitations.

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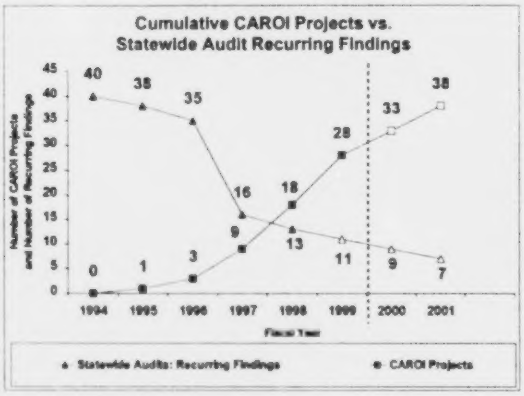
## Indicator 4.2.d. Recurring findings in statewide single audits and program review reports will decrease as the number of Cooperative Audit Resolution and Oversight Initiative (CAROI) projects increases with ED's state partners.

**Assessment of Progress.** Target met. Figure 4.2.d.1 shows that in 1999 the cumulative number of CAROI projects totaled 28 in 20 states. No 1999 data are available; however, prior years' data show that, overall, the Department is experiencing a reduction in recurring findings. The steady increase in CAROI projects and the related decrease in statewide audit recurring findings are positive indicators of how well the process is working.

In 1993, there were approximately 22 state audits under appeal and only 2 in 1998. This translates into a substantial cost reduction benefit for both state and Federal governments, because cooperation replaces litigation. These reductions in recurring findings and state audits under appeal were realized without compromising integrity, accountability, or the purpose of the funds. To put it simply, students receive the maximum benefit of education programs.

Figure 4.2.d.1



**Source:** ED's automated Central Audit Resolution System (CARS) database, and statewide single audits. *Frequency:* Updated as received. *Next Update:* Continuous. **Validation procedure:** Data are supplied by CARS, which, in turn, is based on information contained in single audits verified by independent auditors. **Limitations of data:** There are timing issues. Numbers may fluctuate because state single audits are submitted to ED at various times. The number of recurring findings (for a given year) will fluctuate until all audits for that year have been submitted. There is also a sizable lag time (2 years or more) in receiving data as a result of the time involved in conducting the audits and disseminating this information to Federal agencies.

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## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of This Objective.**
Flexibility is important in an increasingly diverse educational environment. Ed-Flex, our redesigned grants system, our new approach to audit resolution, and the new approaches being undertaken by the Office for Civil Rights are a few examples of ED's commitment to flexibility while maintaining high standards of accountability.

- **Flexibility.** ED will continue to review states' requests for waivers as we implement the new legislation and ensure accountability. We will work with states to assist them in improving reporting requirements to ensure that they possess and use strong accountability measures. We also will provide information about Ed-Flex throughout our Regional Service Teams (RST) so that Department employees can become better informed of the program's role in reform efforts within their regions. We will become advocates of the exchange that the statute is promoting: increased flexibility for increased standards.

- **Improve the timeliness of grant awards.** We will continue to ensure that formula and discretionary grants are issued to our partners in time, by requiring that each program office award a majority of grants by May 31. Announcing funding decisions to ED grantees earlier will give them longer lead times for planning and carrying out project activities, with the goal of positioning them to complete their project objectives successfully. This will be achieved in part by moving toward an electronic grant application and review process. Pilots for this effort will be started among a select group of programs in 2000. In addition, the Department is drafting regulatory amendments, which will implement some aspects of the grants redesign by giving grant programs greater flexibility in reviewing applications and, in many cases, fostering the goal of expedited grant awards.

- **Improve grant administration and partnership.** The Department will proceed with developing an electronic grant process and continue our project of developing new grant training for ED program staff. Our goal is to create, over the next several fiscal years, program staffs and grantees who meet higher standards in grant administration and accountability.

- **Strengthen cooperative audit resolution.** To build on our success in working with states, four new states have agreed to work with ED in implementing the Single Audit/Oversight Pilot Project during the 1999-00 school year. With our state partners, we will see what kinds of formal systems are in place in these states for tracking the results of the single audit process for LEAs receiving Federal education funds. Each year, the innovative partnerships among Federal, state, and local officials; auditors; and program managers continue to increase and provide creative and practical approaches to resolve audit findings and their underlying causes. As one of our state partners remarked, "This [CAROI] is a good partnership, based on 'we' not 'they'—children win!" In addition, in 1999, the Association of Government Accountants recognized CAROI as one of the "Best Practices" in government.

- **Expand integrated program reviews and review teams.** In collaboration with the states, we will use joint technical assistance and monitoring activities for elementary and secondary education programs to support a self-assessment process to encourage continuous improvement in states' administrations of these programs. We will also coordinate with the Council of Chief State School Officers to develop procedures for consolidated performance reporting. The Office of the Chief Financial Officer (OCFO) will continue to participate as a member of the Elementary and Secondary Education Integrated Review Teams to link better the cooperative audit resolution, monitoring, and technical assistance. The teams will conduct on-site monitoring visits to state education agencies on a cyclical basis. OCFO staff bring a new dimension to the teams with their expertise, which includes cash management, indirect costs, and monitoring of subrecipient audits.

- **Increase civil rights partnerships: Building collaborative relationships in civil rights to maximize flexibility.** Building better and flexible relationships with recipients and other stakeholders is often the key to effective civil rights enforcement. Within the context of the Office for Civil Rights' (OCR) case resolutions, such relationships encourage the development of educationally sound agreements that promote educational excellence as well as equity, and foster broader ownership of resolution agreements, helping ensure that they will be fully implemented. OCR has successfully moved from operating a reactive, complaint-driven system to implementing a balanced enforcement program focused on ensuring equal access to high-quality education by responding promptly to complaints *and* initiating proactive activities that target resources for maximum impact. A Government Accounting Office (GAO) study dated February 23, 1999, acknowledged significant improvements in OCR operations between FY 1993 and FY 1997, specifically in the areas of time to process complaints, number of complaints processed annually, and average backlog of unprocessed complaints at year end. The GAO concluded, "OCR has improved its complaint resolution process in two major ways,...replacing a process that focused on investigating complaints with a more flexible system that focuses on resolving complaints as soon as possible,...allow[ing] complaints to be resolved at any point in the process [and]...[improving performance] by undertak[ing] several information and communication efforts."

## How We Coordinate With Other Federal Agencies

- **Government-wide grants procedures**. ED takes part in interagency committees to define common, government-wide standards and methods for electronic grant making, which the Department will use in creating its own electronic grant process.

- **Information-sharing.** In our efforts to maximize the benefits of CAROI, we have initiated conversations with the Office of Management and Budget to present this initiative to other agencies as a possible collaborative tool with their state partners. We also plan to share the CAROI handbook with members of the Federal Chief Financial Officers Council and the President's Council on Integrity and Efficiency.

## Challenges to Achieving Our Objective

### Ed-Flex

Our biggest challenge is ensuring that states have strong and effective accountability systems and that these systems are used effectively in conjunction with the flexibility that is provided by Ed-Flex.

### Cooperative Audit Resolution

The Cooperative Audit Resolution and Oversight Initiative (CAROI) is designed with flexibility to allow the user to customize it to best suit the needs of an individual situation and an agency's (Federal, state, or local) needs and specific issues. CAROI, however, faces many challenges (e.g., lack of trust, limited resources, additional training, fear of change) before it will be completely accepted. At this time, we are not able to measure program review findings. Most program offices do not have databases that track findings identified during program reviews. Databases in the program offices need to be created.

In many cases, ED programs are bound by statutory provisions for which we cannot offer flexibility. We are working with Congress to use simplified language, to the extent possible, in new legislation to allow for additional opportunities to promote flexibility in dealing with states.

### Civil Rights

In some instances, recipients regard the Office for Civil Rights (OCR) as an adversary and fear negative public attention when OCR investigates civil rights issues. We have the opportunity to change recipients' attitudes toward civil rights compliance. By working collaboratively, OCR informs recipients about the requirements of Federal civil rights law and the prospective benefits of compliance. OCR also listens to the challenges and concerns of the recipients and supports them by providing educational models that meet their needs as well as civil rights standards. Fully engaging recipients in the resolution process helps ensure that the agreements are legally sound and support educational excellence.

## Objective 4.3: An up-to-date knowledge base is available from education research to support education reform and equity.

### National Need

**National Concerns.** It is critical that the Nation possess a healthy knowledge base to support systemic education reform and equity. Nearly all states and districts have drawn on research findings to help frame their school improvement efforts. The Nation's student population is growing more diverse. Parents and the public are expecting schools to help all students reach high standards. Consequently, high-quality research is needed to meet the demand for specific, evidence-based guidance and effective strategies to help improve student achievement and close the achievement gap.

Adequate capacity, a relevant research agenda, high-quality research, and useful findings and products are necessary for a sustained knowledge base. The Department of Education supports research primarily through the Office of Educational Research and Improvement (OERI). Key areas of education research include at-risk students, education governance and finance, assessment, early childhood development, postsecondary education, professional development and effective teaching, early reading, mathematics and science instruction, and comprehensive school reform.

**Our Role.** The Office of Educational Research and Improvement (OERI) provides national leadership in the cultivation and expansion of fundamental knowledge and understanding of education. Moreover, OERI aggressively promotes the use and application of such knowledge to improve practice in the classroom. OERI:

- Conducts basic and applied research on the teaching and learning process; the economic, social, and policy contexts of education; and other defined areas of high priority.
- Collects and analyzes statistical data on the present condition of education and project educational trends.
- Demonstrates, disseminates, and adapts new knowledge and practices to various educational settings.
- Supports learning opportunities through libraries, the information superhighway, and other technologies.
- Promotes coordination between the Department's education research and development programs and the related activities of other Federal agencies.
- Forges a national consensus with respect to a long-term agenda for education research, development, dissemination, and other activities; through collaborative efforts with the National Educational Research Policy and Priorities Board, and with external constituencies.

### Our Performance

**How We Measure.** The two performance indicators for Objective 4.3 focus on the technical merit of OERI's education research findings and the usefulness and relevance of these results for policymakers and practitioners. These indicators were selected because it is crucial that the research projects funded by OERI meet the highest standards of evidence for judging research quality, and also because practitioners should be able to make use of the findings and products emanating from these efforts. We will assess progress toward our objective by annually convening a distinguished group of researchers, policymakers, and practitioners, who will review a representative sample of our research products, and use this information as a benchmark for annual product reviews in future years. In addition, publications emerging from OERI-supported research will be reviewed after being selected from a sample of leading, refereed research journals and other highly regarded periodicals that employ rigorous peer review processes. Although we are providing some data pertaining to our performance indicators, we do not yet have the kind of data based on the more systematic procedures that we will be developing during FY 2000.

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## Indicator 4.3.a. Education research meets standards of fully acceptable scientific quality.

**Assessment of progress.** Positive trend toward target.

The comments in a recent GAO report attesting to ED's use of credible procedures and expert involvement reflect that our activities, with respect to the assessment of student achievement, are meeting acceptable standards of scientific quality. Extensive quality control procedures are already in place for the National Assessment of Educational Progress (NAEP). This program makes use of credible procedures and expert involvement.

**Source:** GAO Report GGD-99-139 Verification and Validation of Performance Data. *Frequency*: One time. *Next Update*: None. **Validation procedure:** Data supplied by GAO. **Limitations of data:** The judgments are based on only one of OERI's programs, albeit a major one.

Interim review reports of OERI's National Research and Development Centers praised the overall quality of the work at these centers. Peer review panelists lauded the high quality of the researchers at the various centers; the good balance at some centers between large, continuing studies and shorter, more reactive work; and the strong theoretical and methodological foundations of much of the research. The interim reviews of the centers were carried out in accordance with a set of formal review guidelines, which indicate that the purpose of these evaluations is to focus on the performance of the centers with respect to "the technical quality of its work and products." Therefore, the comments of the expert review panelists attesting to the high quality of the research conducted at the various centers reflect that the research activities at these centers are currently meeting acceptable standards of scientific quality.

**Source:** National Educational Research Policy & Priorities Board Report, September 1999. *Frequency*: One time. *Next Update*: None. **Validation procedure:** Data supplied by peer review panels of expert researchers, policymakers, and practitioners. **Limitations of data:** Although these data provide accurate formative evaluations of the work being conducted at the National research centers, summative judgments were not made.

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## Indicator 4.3.b. OERI-supported research and products are useful and relevant for education policymakers and practitioners.

**Assessment of progress.** Positive trend toward target.

### National Center for Education Statistics (NCES)

NCES is providing useful and relevant data to Federal, state, and local policymakers, as well as to researchers, as evidenced by 1997 and 1999 customer surveys. In 1997, 86 percent of respondents judged NCES publications to be useful. In 1999, preliminary data show that 89 percent of respondents judged the publications useful.

**Source:** NCES Customer Satisfaction Survey, 1997 and 1999. *Frequency:* Biennial. *Next Update:* 2001. **Validation procedure:** Data are validated by using NCES review procedures and by applying NCES Statistical Standards. **Limitations of data:** This indicator relies on self-report data, which may not provide a completely accurate measure of the utility of the information provided.

### Regional Education Laboratories

NCES regional laboratories are providing useful and relevant services to practitioners, as evidenced by 1997 and 1998 client surveys. These surveys showed that in 1997, 74 percent of clients said that laboratory products and services increased their knowledge and skills, and 63 percent said the products and services enhanced their professional practice. In 1998, those figures rose to 85 percent and 68 percent, respectively.

The laboratories are also helping practitioners implement comprehensive school reform by increasing their number of partnerships with schools. The number of development sites—schools where laboratory staff work closely with school teams to develop and test comprehensive school reform strategies—rose from 494 in 1997 to 615 in 1998. In addition, the number of "application sites"—schools where these strategies are further tested and refined—grew from 236 in 1997 to 328 in 1998. In surveys of participants, 88 percent rated the efforts as contributing to comprehensive school reform.

In 1998, the labs delivered more than 100 technical assistance workshops on the topic of school reform, with attendance reaching roughly 6,000 practitioners from more than 1,000 schools and districts.

**Source:** Regional Educational Laboratories Report, 1997 and 1998. *Frequency*: Annually. *Next Update*: 2000. **Validation procedure:** No external validation procedure has been applied. OERI will develop a process to validate the results of the procedures described below. **Limitations of data:** This indicator relies in part on self-report data, which may not provide a completely accurate measure of the utility of these products and services for practitioners.

### AskERIC

Ninety-two percent of AskERIC users reported that the information they received was relevant to their question. (AskERIC is the electronic question-answering service managed by ERIC; the monthly average for questions posed to this service has increased from 612 in 1993 to 3,675 in 1998.) In addition, 93 percent of AskERIC users said they would recommend the service to someone else.

**Source:** ERIC customer survey, 1998. *Frequency*: One time. *Next Update*: None. **Validation procedure:** Data validated by ERIC's review procedures. **Limitations of data:** This indicator relies on self-report data, which may not provide a completely accurate measure of the utility of the information received.

### ERIC Web site

ERIC was ranked as the fourth most popular site in a National survey of K-12 teachers (of core curriculum subjects) who were asked to list the three Websites they use most often as a teaching aid.

**Source:** Quality Education Data, Inc.'s Report on Internet Usage in Public Schools. *Frequency*: One time. *Next Update*: None. **Validation procedure:** Internal review procedures of an experienced data collection agency. **Limitations of data:** This indicator relies on self-report data, which may not provide a completely accurate measure of teacher practice.

## How We Plan to Achieve Our Objective

### How ED's Activities Support the Achievement of This Objective.

Current and continuing efforts to achieve our objective and ensure both the technical merit and usefulness of our funded research can be subsumed under three major strategies: building a substantive knowledge base of effective educational practices, developing a focused research agenda, and enhancing research quality by setting standards and strengthening peer review.

- **Build a substantive knowledge base of effective education practices.**
    - In FY 1999, the Office of Educational Research and Improvement (OERI), the National Science Foundation, and the National Institute of Child Health and Human Development (NICHD) held the first competition for the Interagency Education Research Initiative (IERI) to foster innovative research, including large-scale intervention studies, on school readiness; K-3 learning in reading, math, and science; and pre-kindergarten through 12th grade teacher education in reading, math, and science.

      Building on this first competition, the three agencies will continue this year to refine and focus the IERI. Greater emphasis will be placed on the need for applicants to articulate how the results of the proposed research can contribute directly to our understanding of efficacious approaches for implementing scalable and sustainable interventions in diverse educational settings

    - OERI and NICHD have developed a projected 5-year research initiative, Development of English Literacy in Spanish-Speaking Children (DELSS), to support research efforts that will enhance our understanding of the critical factors that influence the development of English-language literacy competencies among children whose first language is Spanish. One of the major goals of this initiative is to generate converging scientific evidence based on the use of sophisticated research methodologies that can ultimately inform the design of effective educational strategies and practices.

      The Comprehensive School Reform Demonstration (CSRD) Program has evolved tremendously through OERI-funded activities, with a complex interaction of demonstration projects, research and evaluation efforts, and dissemination. The agency held a competition in FY 1999, with the goal of funding the design of comprehensive school reform models that hold promise for increasing educational outcomes at the middle school and high school levels. Seven organizations were awarded contracts. These contracts require the organizations to create models that include strategies, procedures, materials, and teacher professional development for school-wide reform aimed especially at increasing academic achievement for adolescent students. In addition, OERI plans to create a complementary research and evaluation team to maximize the usefulness of findings emerging from these research efforts.

- **Develop a focused research agenda.**
    - OERI's advisory board, the National Educational Research Policy and Priorities Board, contracted with the National Academy of Education to develop a research agenda to help close the achievement gap. The resulting report, along with a related agenda emerging from the National Research Council (NRC), *Improving Student Learning: A Strategic Plan for Education Research and Its Utilization*, are being used to guide the development of the agency's national research agenda. Additional resources are being made available to the NRC to help OERI develop a 5-year plan for an expanded research program of large-scale, systematic experimentation and demonstration focused on strategic education issues within the context of comprehensive school reform.
    - The RAND corporation has been funded by OERI to assist the agency in carrying out research, analysis, and planning activities that will support efforts to enhance the quality, focus, direction, and cumulativeness of its funded research programs. In an effort to achieve these objectives, OERI, with the assistance of RAND, is planning to convene pilot study panels that would guide the development of programmatic research efforts, initially in reading and mathematics learning.

- **Enhance research quality and relevance by setting standards and strengthening peer review.**
  - To promote effective targeting of efforts and to ensure customer satisfaction, new contracts require that each ERIC clearinghouse regularly obtain feedback regarding customer satisfaction with its products, services, and the contribution of its work to improving education.
  - To measure more systematically the extent to which the research supported by OERI meets high standards of technical merit, the agency will annually appoint a blue-ribbon review panel of nationally recognized researchers with expertise in education and related fields. This panel will evaluate the scientific and technical quality of a representative sample of the research products for a given year. Their evaluations will serve as a benchmark for subsequent product reviews in future years. In addition, a selected number of leading research journals that employ rigorous peer review processes will be sampled to assess the number and quality of publications emanating from OERI-supported research. This approach will ensure that the emphasis of the reviews will be placed on evaluating the quality of the work rather than the sheer quantity of products.
  - To measure the extent to which the research supported by OERI yields products that are useful and relevant for educators, the agency will annually appoint a blue-ribbon review panel of nationally recognized education policymakers and practitioners. This panel will evaluate the usefulness and relevance of products based on a representative sample of the research funded for a given year. Their evaluations will serve as a benchmark for subsequent product reviews in future years. Publications and other products originating from OERI-supported research will also be reviewed. To ensure that quality rather than simply quantity of this work is evaluated, the publications will be drawn from selected, prominent journals of policymaking and from highly regarded periodicals that publish articles for practitioners.
  - OERI held an interagency symposium in May 1999 concerning peer review processes and procedures. Staff from the National Institutes of Health (NIH), the National Science Foundation (NSF), the National Endowment for the Humanities (NEH), and the Office of Naval Research participated. The suggestions generated during this meeting, coupled with related recommendations from the National Educational Research Policy and Priorities Board, have formed the basis of a plan to develop standing peer review panels modeled after those used by other Federal agencies.

## How We Coordinate with Other Federal Agencies

OERI has been coordinating its work with various other Federal agencies in several ways. First, in a continuing attempt to fund high-quality education research that possesses strong potential for application to complex and varied educational environments, OERI is partnering with both the National Science Foundation (NSF) and the National Institute of Child Health and Human Development (NICHD) in supporting the Interagency Education Research Initiative. Similarly, OERI and NICHD are jointly sponsoring the Development of English Literacy in Spanish-Speaking Children (DELSS) initiative. Both of these efforts should yield research findings that will contribute importantly to the extant knowledge base of effective education practices, thereby bringing us closer to achieving our objective.

The other major way in which we have been working with other Federal agencies is to draw on their expertise concerning effective peer review processes and procedures for evaluating the scientific and technical merit of research grant applications. In this regard, we have worked closely with both the National Science Foundation (NSF) and the National Institutes of Health (NIH).

## Challenges to Achieving Our Objective

While conducting education research and collecting data are part of an acknowledged Federal role, limited resources for research and development activities often restrict the capacity of the Federal government to sufficiently address the wide range of important education problems facing the Nation. Currently, less than 0.1 percent of the $300 billion spent annually on public K-12 education supports education research. This is in sharp contrast to the 23 percent that the pharmaceutical industry, for example, spends on developing and testing prescription and nonprescription medications. It is far less than the Federal investment in health research, which is estimated to be 30 times larger than the investment in education research. Given the limited resources for education research, OERI must develop a more focused set of research priorities and strengthen its peer review system to fund studies of the highest quality that have the best potential for yielding products that will be useful to policymakers and practitioners.

## Objective 4.4: Our information technology investments are sound and used to improve impact and efficiency.

### National Need

**National Concerns.** The Department is committed to fulfilling the Information Technology Management Reform Act of 1996 (also known as the Clinger-Cohen Act). The Clinger-Cohen Act requires the Department to significantly improve the acquisition and management of information technology in order to advance mission performance and service delivery. Furthermore, the Department is committed to improving its information technology (IT) infrastructure, IT asset management, and information management (IM) policies. This is in accordance with Department priorities; Presidential Direction for IT security; continuity of operations; the Paperwork Reduction and the Paperwork Elimination Act; and December 1999 Presidential Executive Directives, such as Federal electronic government, electronic commerce, electronic working group, and electronic grants.

**Our Role.** The Chief Information Officer (CIO) leads the Department's implementation of the Clinger-Cohen Act, the Paperwork Reduction Act (PRA), the Paperwork Elimination Act, Presidential Executive Directives such as Federal electronic government, electronic commerce, and electronic-working group, among others. The Office of the Chief Information Officer (OCIO) serves as the Department's technical enabler to improve practices in the design, modernization, use, sharing, and performance of agency information resources, including those opportunities to apply information technology to multidisciplinary solutions. The CIO also serves on the Federal CIO Council, the principal interagency forum that leads and directs the strategic management of Federal IT resources and that serves as the focal point for coordination challenges that cross agency boundaries.

### Our Performance

**How We Measure.** The following measures represent Department performance for this objective. Our goal is to institute a balanced scorecard for measuring customer satisfaction and sound business management in a manner that will incorporate subordinate process measures.

### Indicator 4.4.a. IT investment assessments indicate that major information systems are mission-driven, cost-effective, consistent with our information technology architecture, and supported by performance-based management systems.

**Assessment of Progress.** To use this indicator, a baseline of cost, schedule, and performance goals for each major IT project will be created. The Department will measure actual project results against each project's estimates to calculate variances of cost, schedule, and performance. The Department's goal is that 80 percent of all major IT projects will be within a 10 percent variance of their cost, schedule, and performance goals by FY 2002. By tracking these variances to determine project progress for all of our major IT projects and considering the project data available at the time the Department made funding decisions, the Department can assess the investment management process and modify it as needed. While the Department is collecting the formal baseline data, the following accomplishments address our progress:

- The Information Technology Investment Resource Board (ITIRB) has strengthened IT management in the following ways:
    - Centralization of replacement of non-Y2K PC's, allowing lease as an acquisition option.
    - Long-term electronic mail solution (Microsoft Exchange).
    - Selection of standard office suite software (Microsoft Office).
    - Central management of Web servers.
    - Adoption of the Product Support Plan, which introduced product standardization.
    - Adoption of accessibility waiver procedures.
    - Financial Management System software replacement.
- Completed the *Enterprise Information Technology Architecture Framework, Volume I*, in September 1999.
- Developed the *IT Architecture Principles Guidance*, which provides development and management instructions for IT project sponsors.
- Developed ITIRB core competencies and began training to the competencies.
- Completed *Exhibit 53 Data on Information Technology* for budget submission. This exhibit classifies Department IT project spending in three categories: mission area, infrastructure and office automation, and IT architecture and planning.

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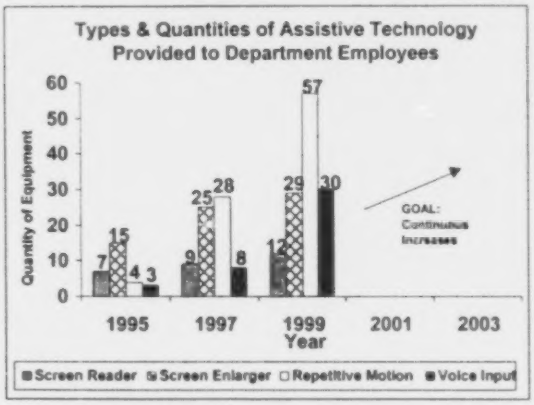
## Indicator 4.4.b. Employees will assess productivity as "significantly improved" as a result of available technology, as shown by the employee survey in 2000.

**Assessment of Progress.** On target. According to the 1996 employee survey, 70.2 percent of ED employees mostly agree or strongly agree that their productivity has improved as a result of available technology. Another survey will be conducted in the spring of 2000 and annually thereafter. Success in these functions will also be assessed by OCIO, provided by customer satisfaction surveys now being developed and possibly by other indirect means. OCIO will also conduct pre- and post- tests at IT training and will conduct a total cost of ownership survey in 2000, which will complement the data discovered through the 2000 Office of Management (OM) employee survey. ED's Assistive Technology Team received a Vice-Presidential Hammer Award. Working with employees, advocates, industry experts, and other agencies, the team developed the requirements for use in the contract language for its information technology acquisitions, assuring that software, developed or procured, would be accessible to disabled employees and customers alike.

Figure 4.4.b.1



**Source:** Assistive Technology Program of OCIO. *Frequency:* Biennial. *Next Update:* 2001. **Validation procedure:** Data are validated by the internal review procedures of an experienced data collection agency. **Limitations of data and planned improvements:** Limitations are few as a result of the straightforward bookkeeping. One limitation is that this is a quantitative measure only and does not measure how much an impact it has on the recipient employees. A user survey will need to be developed to identify this impact.

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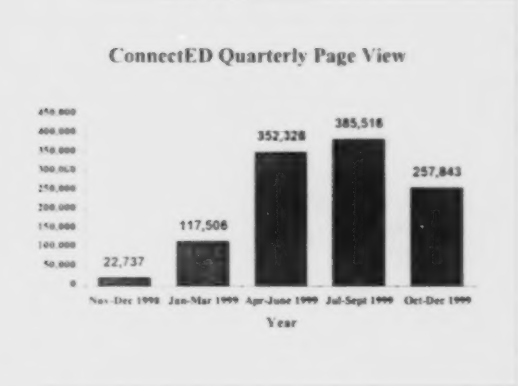
The Department of Education Assistive Technology Program, in the Office of the Chief Information Officer (OCIO), has improved the delivery of information and the access to information systems for more than 200 disabled staff and customers. ED has become a leader in the Federal Government movement toward providing access to data, information, and information systems worldwide. As a result of the assistive technology services offered within ED, we meet all employees' needs in this area.

The ED program has impacted Federal and public policy legislation, the development criteria of worldwide information technology firms, Federal procurement procedures, and legislation to benefit the disabled.

**Intranet Use from November 1998 to December 1999**

Figure 4.4.b.2



**Source:** OCIO Intranet Project Manager's analysis of the Web usage log. *Frequency:* Monthly. *Next Update:* N/A. **Validation procedure:** Data validated by internal review procedures of an experienced data collection agency. **Limitations of data and planned improvements:** It is a quantitative measure at this point; customer surveys and usability testing will be done in the future to measure the quality of content and services.

The Department's Intranet, ConnectED, was introduced in November 1998 and is continually being enhanced to provide better customer service, and to increase collaboration and communication among ED staff. In the future, indicators will be expanded to address improvements in data collection and more effective use of technology in administering grants. We are concerned that usage appears to be decreasing. The Intranet is being evaluated to assess the extent to which it meets employees' needs.

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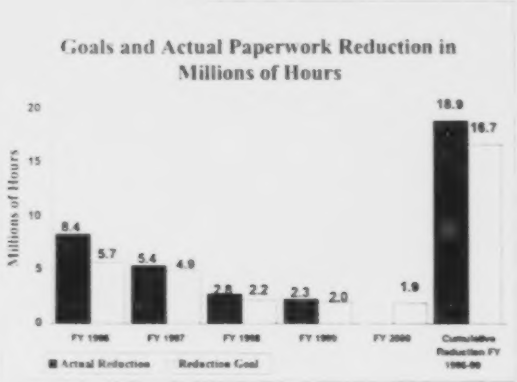
## Indicator 4.4.c. Data reporting burden on public will be reduced annually.

**Assessment of Progress.** Target exceeded. The Paperwork Reduction Act (PRA) set a 10 percent reduction goal for FY 1996 and FY 1997, and 5 percent for FY 1998 through FY 2001, for Federal agencies to reduce the burden of information collections on the public. Since the PRA was enacted, the Department has exceeded its goals (see Figure 4.4.c.1). The Department reduced data-reporting burden by 8.4 million hours (14.7 percent) in FY 1996, 5.4 million hours (11 percent) in FY 1997, and 2.8 million hours (6.5 percent) in FY 1998. As of September 1999, the Department has reduced its burden by 2.3 million hours (5.6 percent), surpassing the FY 1998 goal. These significant burden reductions are due to the Department's increased use of information technology, successful regulatory reinvention efforts, and reinventing and streamlining information collection efforts. The burden on the public will also decrease by the electronic grants management strategy outlined in Objective 4.2 and by the improved Intranet and Internet strategy in Objective 4.1.

Figure 4.4.c.1



**Source:** Information Collection Budget of the Department of Education, FY 2000 submission dated December 1999. *Frequency:* Annual. *Next Update:* December 2000. **Validation procedure:** Data validated by internal review procedures of an experienced data collection agency. **Limitations of data and planned improvements:** Burden hours are estimated for all information collections. Based on experience, estimated burden hours tend to be more accurate for older collections, which are renewed on numerous occasions. Burden hour estimates for newer collections are probably less accurate. However, all information collections are subject to the Information Management Group of OCIO, OMB, and public reviews, and all comments made must be addressed by law.

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## Indicator 4.4.d. All major information systems needing repair will be converted to Year 2000 compliance by March 1999 (giving time for testing during 1999) and validated through operation into March 2000.

**Assessment of Progress.** Goal met. Each Federal agency was required by the Office of Management and Budget (OMB) to ensure that its information systems were fully compliant by March 31, 1999. OMB and the Government Accounting Office (GAO) assist agencies in planning, managing, and evaluating their Year 2000 programs through a four-phase process: assessment, renovation, validation, and implementation. The Department met its goal.

The Department established a Year 2000 project team and implemented technical solutions. The chart below illustrates the Department's 14 mission-critical systems and their progress to date. All of ED's 161 non-critical systems successfully completed the four-phase process.

Figure 4.4.d.1

**Status of U.S. Department of Education Year 2000 Conversions for Mission-Critical Systems, as of January 1, 2000**

| | | **Y2K Phases** | | | | |
|---|---|---|---|---|---|---|
| **#** | **Mission Critical System** | **Assessment** | **Renovate** | **Validate** | **Implement (target date)** | **Status** |
| **Student Financial Aid Systems** | | | | | | |
| 1 | Central Processing System (CPS) | | | | | Completed |
| 2 | Direct Loan Central Database | | | | | Completed |
| 3 | Direct Loan Origination System | | | | | Completed |
| 4 | Direct Loan Servicing System | | | | | Completed |
| 5 | Postsecondary Education Participants System (PEPS) | | | | | Completed |
| 6 | Multiple Data Entry System (MDE) | | | | | Completed |
| 7 | Title IV Wide Area Network (TIVWAN) | | | | | Completed |
| 8 | Campus-Based System (CBS) | | | | | Completed |
| 9 | Federal Family Education Loan Program System (FFEL) | | | | | Completed |
| 10 | Pell Recipients and Financial Mgmt System (PELL) | | | | | Completed |
| 11 | National Student Loan Data System (NSLDS) | | | | | Completed |
| **Other Program Systems** | | | | | | |
| 12 | Impact Aid Payment System | | | | | Completed |
| **ED Administrative Systems** | | | | | | |
| 13 | ED Central Automated Processing System (EDCAPS) | | | | | Completed |
| 14 | Education's Local Area Network (EDLAN) | | | | | Completed |

**Source:** Monthly and Quarterly Progress Reports to OMB, based on ED's inventory of systems, Y2K assessments, and subsequent monitoring of the renovation, validation, and implementation phases. *Frequency:* Monthly and quarterly. *Next Update:* March 2000. **Validation procedure:** Data validated by internal review procedures of an experienced data collection agency. All mission-critical systems were independently verified and validated by a third-party contractor. **Limitations of data and planned improvements:** Until the revised systems are active in a live environment, with data exchanges from external customers, Y2K compliance cannot be established with certainty. The New Year began with all systems "green," and systems are being monitored in real operation through March 2000 to validate that the status is certain.

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## How We Plan to Achieve Our Objective

### How ED's Activities Support the Achievement of This Objective.

The mission of the OCIO is to enable the Department of Education to provide world-class customer service to schools, students, and their families through information technology. The following information technology strategies will increase the efficiency and effectiveness of ED's operations.

- **Cost-effective services that deliver for ED and its customers.**
  - The CIO will implement a capital planning and investment control process as required by the Clinger-Cohen Act. To improve the effectiveness of the Information Technology Investment Review Board's systematic and careful review of the acquisition and implementation of information technology. The first major systems assessed: student financial systems and financial systems as described in Objectives 3.3 and 4.6.
  - The CIO will train, develop, and equip an expert information management liaison team to the program offices. These expert OCIO consultants will help program offices develop specific information technology and information management plans and consult on Department-wide information management issues and paperwork reduction strategies.
  - The CIO created the Learning Network, which provides computer and policy training at the desktop of all ED employees at headquarters and in the regions. The Chief Information Officers Council and Training and Development Center together will examine employee core competencies in technology. The results of the project will allow for better targeting for training.
- **Information architecture/security.**
  - Maintain automated data processing systems, including network operations, and provide the latest technology to increase productivity and to provide better customer service, such as videoteleconferencing.
  - Continue to implement a Product Support Plan (PSP) that provides guidance of standard hardware and software products supported by ED.
  - Increase the use of the Internet as a service delivery medium for the Department and dictate an increase in security attention. Disruptions to IT services delivered to ED based on security problems can affect the ability of principal offices to maintain the business continuity of service to their customers.
  - Continue the Department's leadership in assistive technology.
  - Apply the lessons learned from the Y2K conversion and contingency planning to the continuity of operations/disaster recovery planning and to IT asset management procedures.
  - Monitor the Department's 14 critical and 161 non-critical systems through late March 2000 to ensure Y2K compliance and to respond to any issues that may be discovered.
- **Expanded Internet/Intranet presence.**
  - The CIO plans to expand the Department's role as portal to education information and services across hundreds of Web sites at Department-funded contractors and grantees, other Federal agencies, state agencies, and other partners (using cross-site indexing, meta-data/resource cataloging, and new finding tools), and a move to implement personalization technologies. The challenge now is to organize existing resources and use Internet technology to help educators and families easily find the precise information or service they need when they need it. For instance, a Deputy Secretary priority is to automate the grants management process and make it Web-accessible for application distribution, acceptance, and peer review.
  - The OCIO plans to redesign the Department's Intranet, ConnectED, to improve usability and make it easier for content owners to publish information. The first stage will include a complete restructuring of the site based on results of usability testing and focus groups. The new homepage will have the ability for each user to personalize his or her start-up page. The redesign will provide advanced tools for our internal customers, such as, interactive forms, workflow and information dissemination tools, new products and technologies, and additional customer feedback opportunities.

- **Data collection/information management.**
  - OCIO plans to provide support, coordination, and direction to these current data improvement efforts in order to promote enterprise-wide information management. This will: increase the percentage of data collections allowing electronic responses, (with the goal of allowing all data collections to be electronic); consolidate our data collections; automate our grants management activities, including grant applications; improve the timeliness of our information dissemination; and assist in collaboration with our state and local education partners in the definition and implementation of data and information sharing. This will also reduce paperwork burden to the public.
  - OCIO plans to initiate an enterprise data quality project. This project will measure the quality of the data, identify data clean-up opportunities, and help prioritize additional data quality initiatives. Existing legacy databases within ED have never been systematically audited for: completeness and validity, structural integrity, and data conformance to business rules. This will be done in the next two years.
  - OCIO will also initiate an education information analysis project. This project will bring together experts in using education information and develop models of what the future national education information environment must provide to empower both parents and local groups in the improvement of their children's education.

## How We Coordinate With Other Federal Agencies

The CIO is a member of the Federal CIO Council. Clinger-Cohen implementation is reviewed and monitored by OMB and GAO. Members of the OCIO and program offices also participate in electronic government initiatives.

## Challenges to Achieving Our Objective

The Department of Education is a recognized Federal leader in IT accessibility. OMB has commended the Department for its capital investment planning of Student Financial Assistance (SFA) and OCFO projects. Participation of OCIO and other ED leaders on the Federal CIO Council working groups provide the opportunity to share our successes as well as to benchmark the best practices of other agencies and departments.

Highly trained technical and information technology management professionals command higher salaries in the private sector than the Federal government can offer; thus, they are difficult to recruit. The Chief Information Officers (CIO) Council is weighing a separate pay scale for government information technology (IT) employees.

ED, like all Federal agencies, awaits a final policy on electronic records management from the National Archives and Records Administration. The policy may affect resources devoted to expanding Internet service offerings.

Now that the first full-time Chief Information Officer (CIO) has joined the Department, the agency is better positioned to address the broad scope of information resources management responsibilities. The CIO has assessed the state of information technology in the Department and has made two incontrovertible findings: 1) the infrastructure is not ready for full-scale e-business; and 2) the Department's information technology business is not conducted from an enterprise-wide perspective.

In order to implement and comply with the regulations set forth in the Information Technology Management Reform Act/Clinger Cohen Act, the Paperwork Reduction Action, the Government Performance and Results Act, and the Government Paperwork Elimination Act, the primary goal of the CIO is to convert the Department to an enterprise-focused e-business. The conversion requires a mature information technology (IT) investment management and capital planning process, a robust business-driven information technology (IT) architecture, and a life-cycle process and management approach to all information technology (IT) and information management initiatives.

The Department's strategic plan is the catalyst for our enterprise approach to automating our information. As an agency, ED plans to consolidate our data collections; automate our grants management activities, including grant applications; improve the timeliness of our information dissemination; and collaborate with our state and local education partners in the definition and implementation of data and information sharing. Every facet of this approach will require significant resources for training and communication.

The existing network technology infrastructure has a solid foundation, but is inadequate to support full conversion to a business environment. We plan to expand and maximize the use of Internet technologies with our business partners and the public. In addition to expanding our technical and information infrastructure's capabilities, we plan to greatly enhance network security, introduce enterprise-wide use of video technologies, and ensure accessibility to people with disabilities.

The Department has few structured approaches for the management, collection, processing, storage, or distribution of data. We plan to develop an enterprise-based data dictionary with agreed-upon protocols for data management. Considerable effort is required to reconcile and standardize data given the hundreds of separately legislated programs; regulatory interpretations; and the wide range of capabilities to provide data electronically among our business partners, the state, and local education agencies.

When ED achieves the information technology (IT) environment envisioned above, it will be ready to move to the forefront of the movement in our society toward using the Internet as a virtual classroom—a vast learning environment. The Department will strive to become society's education encyclopedia, its portal to educational information worldwide. ED plans to accelerate the development of information architecture with an enterprise-level meta-data repository, and the Department will use the Internet and other evolving technologies to expand lifelong learning for all internal and external customers.

## Objective 4.5: The Department's employees are highly skilled and high-performing.

### National Need.

**National Concerns.** The Department of Education is committed to ensuring that its employees are highly skilled and performing at optimal levels. Research of best practices in government and industry indicates that high organizational performance is a result of hiring and retaining good people and ensuring that those people have the training and tools they need to perform. Employees also need a physical work environment conducive to productivity, e.g., free from workplace hazards and threats and equipped with proper lighting and air quality. In addition, high-performing organizations create a positive work climate built on the strengths of a workforce that is diverse in skills and personal experiences.

**Our Role.** Several key trends influenced the development of specific ED strategies to ensure that our workforce is highly skilled and high-performing. One trend indicates an expected short supply of excellent, highly skilled workers over the next several years. One of our responses has been to improve the quality of training and development services available to ED employees. ED will also have to compete with the private sector to attract and retain the best and brightest employees and managers.

Within ED, responsibility for ensuring that employees are highly skilled and high-performing is shared by the entire leadership team of the Department.

The Department is promoting high performance for organizational components within ED. ED has introduced a broad range of new training and development programs in a variety of formats. Management training in the Department has been overhauled, partnerships have been formed with local colleges and universities, career counseling services are offered to employees, courses are available online, and program-specific training is available. Employees are encouraged to pursue developmental opportunities through a new lateral "mobility assignment program," mentoring program, and other special programs. The Department's employees continue to have full access to government-wide programs, including the Women's Executive Leadership Program and executive development programs sponsored by the Federal Executive Institute, the Council for Excellence in Government, and Harvard University.

ED is ensuring a healthy, safe, and secure workplace for all employees. ED facilities have been upgraded, and improvements continue to be made. Changes have been made to improve the health, safety, and productivity of ED's employees.

In 1997, the agency redesigned its complaint resolution process and officially opened an Informal Dispute Resolution Center (IDR Center). Employees are required to use the IDR Center as a first stop for any employment concerns. The IDR Center's mediators provide information and other services in an attempt to resolve matters informally. The Department strives to hear and respond to employee concerns through a variety of other venues, including the recently redesigned employee suggestions system and dialogue sessions conducted as part of the President's Race Initiative.

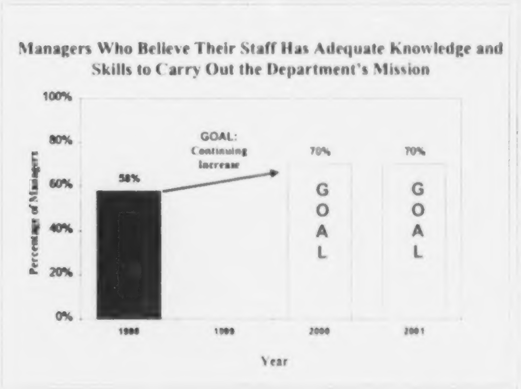
## Our Performance

**How We Measure.** The three performance indicators for Objective 4.5 reflect an emphasis on the strategies in place to ensure that ED employees are highly skilled and high-performing. We want to ensure that our people and our organizations have the necessary skills to carry out the work of the Department, and we have included a performance indicator to measure the progress in this area. In addition, the Department wants to ensure that its support services are adequate so that employees can perform to fullest capacity in an environment free from workplace hazards and distractions that affect morale or create down time. To this end, the Department has established two performance indicators to track satisfaction with the quality of the work environment and with assistance attained from the Department to resolve disputes, balance work and life responsibilities, and address organizational or employee performance problems.

## Indicator 4.5.a. Seventy percent of survey respondents will agree that manager and employee knowledge and skills are adequate to carry out the Department's mission.

**Assessment of Progress.** Although no 1999 data exist for this indicator, progress is expected in 2000 and 2001 because significant effort was made in 1999 to expand and improve training and development opportunities for ED employees. As described elsewhere in this report, the Department's Training and Development Center (TDC) has introduced a broad range of new training and development programs in a variety of formats, including customized training for intact departmental teams and online training. During 1999, the entire approach to management development training in the Department was overhauled. Historically, survey and focus-group data and information from the Government Accounting Office (GAO) indicate that agency managers lack confidence in staff knowledge and skills to manage employee performance and large system adequately. Figure 4.5.a.1 shows that an April 1998 survey of managers revealed that only 58 percent of ED managers agree that staff possesses knowledge and skills adequate to carry out the Department's mission. The 2000 and 2001 targets have been revised from 75 percent to 70 percent, based on historical improvement rates for this activity. An extensive employee survey effort is planned for 2000 to assess overall progress in meeting performance targets related to improving employee satisfaction with training opportunities and readiness to perform the work of the Department.

Figure 4.5.a.1



**Source:** April 1998 Training and Development Center Survey of Managers. *Frequency:* No regular schedule established. *Next Update:* Data will be collected through the Department's 2000 Employee Survey. **Validation procedures:** Data supplied by the Department's Training and Development Group. No formal verification or attestation procedure applied. **Limitations of data:** Training and Development Center staff conducted the April 1998 survey of 566 managers and manually tabulated the results. The survey was sent via e-mail, and a 60 percent response rate was achieved.

## Indicator 4.5.b. Most employees will indicate satisfaction with their work environment (e.g., physical surroundings, noise level, and air quality), security, and accessibility.

**Assessment of Progress.** No 1999 data are available, but progress toward target is likely. Since 1993, the Department has tracked employee satisfaction with the physical work environment, security arrangements, and accommodations for persons with disabilities. This plan reflects revised targets for satisfaction with the physical work environment based on a review of results of the 1996 government-wide Organizational Assessment Survey(OAS). This is a survey developed and administered by the Office of Personnel Management (OPM) to various Federal agencies and other organizations. A review of OPM data showed that government employee satisfaction with the physical environment averaged 60 percent. ED has set its targets at 67 percent, which is slightly higher than this average satisfaction level. This target is based on the expectation that recent emphasis on ED facilities improvements should yield slightly higher satisfaction levels than the average for Federal agencies that have been surveyed.

As shown in Figure 4.5.b.1, between 1993 and 1996, employee satisfaction with the work environment improved from 31 percent to 49 percent, an increase of 18 percentage points. The performance indicator also focuses on satisfaction with security arrangements and accommodations for persons with disabilities. ED's employee survey data presented in Figure 4.5.b.2 indicate that between 1993 and 1996, employee

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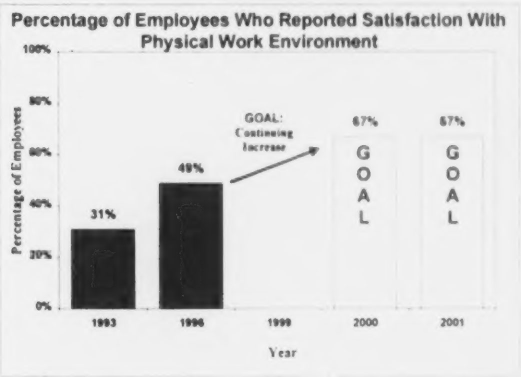
satisfaction with security arrangements changed from 39 percent to 50 percent, an increase of 11 percentage points. Figure 4.5.b.3 shows that between 1993 and 1996, employee satisfaction with accommodations for persons with disabilities changed from 48 percent to 62 percent, an increase of 14 percentage points.

Figure 4.5.b.1



**Source:** 1993 and 1996 Employee Survey. *Frequency:* No regular schedule established. *Next Update:* Data will be collected through the Department's 2000 Employee Survey. **Validation procedure:** Data supplied by independent contractor. No formal verification or attestation procedure applied. **Limitations of data.** The major data source to measure employee satisfaction levels will not be available until the 2000 Employee Survey. ED is working on developing additional indicators such as measures of air and water quality and using customer help desk reports to track work environment quality improvements.

Figure 4.5.b.2

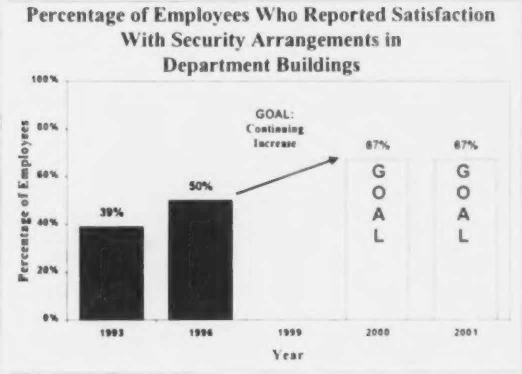
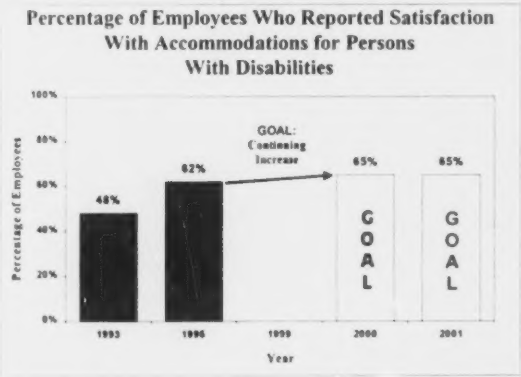


Figure 4.5.b.3



## Indicator 4.5.c. Most employees and managers will express high satisfaction with assistance on resolving disputes, balancing work and life responsibilities, and addressing organizational and employee problems.

**Assessment of Progress.** Positive trend toward target. The data in Figure 4.5.c.1 show that the Department has made measurable progress in resolving disputes permanently on an informal basis since redesigning its complaint resolution process and making its new Informal Dispute Resolution Center (IDR Center) fully operational in 1997. Further progress is likely through 2000 and 2001. The new process requires employees to use the IDR Center as a first stop for all types of concerns, including equal employment opportunity (EEO) matters, administrative grievances, and negotiated grievances. IDR Center staff provide information, mediation, and other services as needed to address matters in an informal process. Higher success rates of resolution are difficult to achieve because certain types of complaints remain difficult to resolve at the informal level. For example, for many complaints about no-selection during hiring or complaints about non-promotions, compromise remedies are difficult to identify. As a result, because they are entitled to do so, many employees continue to pursue these matters through the formal process, although it is unclear that they obtain satisfaction in this venue. Figure 4.5.c.1 shows that the percentage of complaints and grievances resolved informally increased from 63 percent in 1997 to 70

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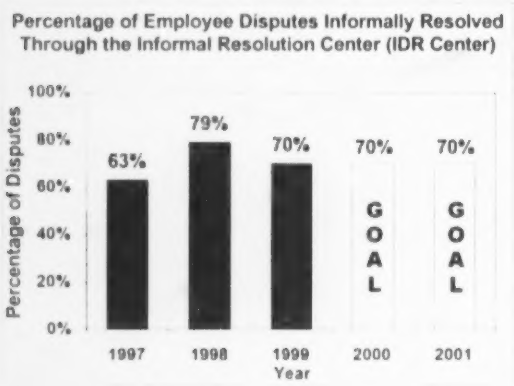
percent in 1999. The total number of informal complaints counseled decreased from 164 in 1998 to 147 in 1999.

Figure 4.5.c.1



**Source:** IDR Center reports. *Frequency:* Annual. *Next Update:* 2000. **Validation procedure:** Data supplied by the IDR Center. No formal verification or attestation procedure applied. **Limitations of data.** These data focus on the Department's ability to resolve EEO, administrative grievance, and negotiated grievance cases informally. The data has been collected on a fiscal year basis since 1997. The indicator will be expanded to assess satisfaction with assistance from the Office of Management (OM) on providing services aimed at improving productivity: assistance with dispute resolution, work/life programs, and organizational and employee problems. Currently, limited data collection capability exists in these areas.

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## How We Plan to Achieve Our Objective

The Department's Strategic Plan identifies three core strategies intended to ensure that staff are highly skilled and high-performing: 1) promote high staff and organizational performance; 2) ensure a healthy, safe, secure, and accessible workplace; and 3) promote a fair, efficient, responsive, and productive environment for all employees. These strategies and supporting activities were set based on input from a variety of sources, including perceptions identified through the Department's employee survey and follow-up focus groups, data from employee complaints and suggestions, and other information. Major recent accomplishments, works-in- progress, and planned accomplishments through 2001 are summarized below.

- **Promote high staff and organizational performance.**

  **Management and Leadership Development:** In FY 2001, the Department will continue to support the continuing professional development of its executives, managers, and supervisors. During FY 1999, participating in 40 hours of continuing professional development became mandatory for all of the Department's executives, managers, and supervisors. In FY 2000, the Department provided this professional development for 652 leaders and managers (90 percent) and will continue to support this endeavor in FY 2001.

  In addition to offering this new program for agency managers and supervisors, the Department designed and offered a special 40-hour course emphasizing performance management to new supervisors and managers. Another service, an executive coaching service, provides one-on-one support and guidance to all managers who request assistance was piloted during 1999 and will continue in FY 2000 and FY 2001. Department employees also have the opportunity to participate in executive development programs offered by other providers. During 1999, ED's managers and executives participated in the program offered by the Office of Personnel Management's Federal Executive Institute, a program sponsored by Harvard University, and a program sponsored by the Council for Excellence in Government.

  **Employee Development:** During FY 2001 and beyond, the Department will continue to provide both formal and informal developmental opportunities for its employees. Employees are encouraged to participate in the mentoring, mobility assignment, and upward mobility programs to expand their knowledge, skills, and experiences.

  University course offerings, access to "best-in-business" developmental programs sponsored by the U.S. Department of Agriculture (USDA) Graduate School and other providers, and the online Learning

Network are other skill-building programs commonly used by Department employees. In FY 1999, three undergraduate and seven graduate-level courses and seminars were offered to employees. During 1999, ED employees participated in the Women's Executive Leadership, New Leaders, and Aspiring Leaders Programs.

**Organizational Preparedness and Performance:** During FY 2001, the Department remains committed to attracting and retaining a diverse workforce and developing its human capital in support of its mission.

In FY 1999, the Department recognized the need to plan for tomorrow's program and management challenges by conducting workforce planning analyses. In FY 2000 and FY 2001, the Department will continue its analysis by identifying skills gaps and potential staffing shortages in critical education program areas and areas in which the Department is underrepresented according to its Affirmative Employment Plan. The Department has already determined that Hispanic employees are underrepresented in its workforce. As a result, ED has participated in an Interagency Task Force focused on this issue and is developing a targeted recruitment strategy to attract highly qualified candidates from this under-represented population. The Department's program offices will be encouraged to use workforce analysis information to develop hiring, training, and retention strategies in consultation with the Office of Management (OM).

To further ensure effective recruitment and retention strategies, the Office of Management (OM) is developing an exit interview process to collect and analyze perceptions and recommendations of employees leaving the agency.

- **Ensure a healthy, safe, secure, and accessible workplace for all employees.**

**Workplace Improvements:** In FY 2000 and beyond, workplace improvements will continue in headquarters and regional offices. In October 1998, the Department moved approximately 1,300 of its headquarters employees into renovated quarters. The new facility is designed to maximize employee productivity and improve the quality of work/life for Department employees. In the fall of 1999, the Office of Management (OM) initiated a National environmental air- and water-testing program for Department buildings. ED has implemented the Section 504 reasonable accommodation program to ensure that the Department's programs and activities are accessible to employees and customers with disabilities.

**Security:** During 2001 and beyond, the Department will continue to take actions to ensure employment and workplace security. In June 1998, the Department heightened building security in all of its occupied buildings. In 2000, the Department will develop and implement a Workplace Violence Prevention Awareness Program.

- **Promote a fair, efficient, responsive, and productive environment for all employees.**

**Work/Life Programs:** New work/life programs and seminars available to Department employees have been well received. The ED Employee Survey includes questions to assess perceptions of employees on the impact these programs have on productivity; during 2000, the results will be analyzed for continuous improvement efforts. In 1999, the Department established the Work/Life Programs Group to provide a focal point for researching, developing, and implementing initiatives designed to help employees become more productive in their work, family, and personal lives.

**Informal Dispute Resolution:** During 2001, progress will continue on implementing monitoring and continuous improvement efforts of ED's informal dispute resolution efforts. The Informal Dispute Resolution Center (IDR Center) was created to assist employees and managers avoid or promptly resolve EEO complaints or other matters of dispute. During September 1998, an independent evaluation was issued covering the effectiveness and efficiency of the informal dispute resolution process. Recommendations were made to gain management support in the alternative dispute resolution process, to develop training programs to enhance management knowledge and skills in the dispute resolution process, and to develop a plan to increase the knowledge and skills of the IDR Center's employees. The IDR Center has initiated training in "conflict communication" with representatives from various principal offices; conducted individual briefing with senior officers;

participated in new managers' and employees' orientation sessions; and distributed the status of informal complaints on a quarterly basis to senior officers, union representatives, and executive officers.

**Race Relations**: The Department is continuing the dialogue regarding race relations started in 1998 under the President's Initiative on Race. In 1999, the Department continued a full agenda to implement the Initiative and improve working relationships among ED employees. ED continued to hold facilitated dialogue sessions, sponsored a cultural fair using the theme "United We Are One," and convened a panel of employee authors of articles on racial issues for the employee newsletter.

## How We Coordinate with Other Federal Agencies

The Office of Personnel Management (OPM) provides programs and resources affecting the entire Federal workforce. For example, OPM has developed core competencies for the entire Senior Executive Service, and the premier training program for Federal executives is run by OPM's Federal Executive Institute (FEI). During 1999, ED's Training and Development Center (TDC) entered into a contractual arrangement with FEI to redesign and run the core curriculum of its leadership development program for all ED managers, supervisors, and other key personnel.

In addition to working with OPM, OM staff participate in a range of interagency activities to explore cutting-edge management practices and to address common challenges that affect the performance of the workforce. The Department actively participates in two important interagency forums sponsored by the National Academy of Public Administration. One forum, the Human Resources Consortium, provides a venue for Federal agencies to explore best practices on issues such as workforce planning and managing human capital. The other forum, the Performance Consortium, brings representatives together from Federal agencies to explore the use and development of strategic plans and performance measures to help government programs and agencies attain high performance.

## Challenges to Achieving Our Objective

ED's work and workforce are changing in ways that create challenges for the leadership team of the Department. In recent years, the introduction of new programs combined with the limited authority to hire new personnel has forced the Department to be more creative in the way it manages its human resources. One response currently being evaluated is the introduction of a mobility assignment program, which allows employees to work in new areas within the Department on a temporary basis. In addition, the Department has begun some preliminary workforce planning efforts to identify retirement eligibility and other factors that could indicate current or potential skills gaps for the Department. In turn, both Department-wide and program-specific strategies need to be developed to ensure proper staffing and skills levels in the Department's vital areas.

Another challenge facing employees because of changes in the nature of their work has been the need to develop more proficiency with technology. Increasingly, employees must strive to keep current in their knowledge of and adeptness with new kinds of software that can expedite analysis and improve customer service. The Department has identified basic computer competencies for all employees and has expanded its training program in this area.

# Objective 4.6: Management of our programs and services ensures financial integrity.

## National Need

**National Concerns.** The Nation needs accurate and timely financial information to make informed decisions on how education dollars are spent. Taxpayer confidence is earned when entrusted education funds are applied toward those program results and expenditures that Congress intended. The Department is committed to sound financial management and maintaining financial systems that fulfill these needs.

**Our Role.** Ensuring financial integrity of ED's programs and services is achieved through compliance with numerous financial laws and regulations while focusing on results, service quality, and customer satisfaction. To achieve this objective, the Department's Office of the Chief Financial Officer is implementing the following systems and policies: a new general ledger software system; financial policies and procedures designed to enhance internal controls, reconciliation, and reporting processes; and improvements to the agency's acquisition system to support mission-critical departmental and program office objectives.

## Our Performance

**How We Measure.** Objective 4.6 includes two measures. The first measure is to achieve an annual unqualified (clean) audit opinion from an independent audit firm. The annual audit is a measure of the quality and timeliness of the financial information central to sound financial management and essential for program decision-making. The second measure, performance-based contracting, inspires confidence in taxpayers, because it ensures that each Department-awarded contract for goods and services yields valuable results for each dollar spent.

- **Unqualified (Clean) Audit Opinion**. An annual audit by an independent audit firm is an indicator of the quality of the Department's financial information. At the completion of an audit, the auditor issues an opinion of the Department's financial statements. If the auditor is confident that the financial statements are a fair representation of the Department's financial position and operations, then an unqualified opinion is issued.

  As part of the audit of the financial statements, the auditors conduct a review of the internal controls. Internal controls ensure compliance with laws; safeguard against waste, loss, unauthorized use, and misappropriation; and maintain an accurate record and accountability of assets. The auditors issue a report on the results of their review. That report identifies conditions as material weaknesses and reportable conditions.

  The Department is making several improvements to eliminate financial management weaknesses and reportable conditions, which will increase the quality and timeliness of data for decision making. The following corrective actions are under way: The procurement and implementation of a new general ledger system, enhanced financial policies and procedures to strengthen internal controls, and improved reconciliation and reporting processes.

- **Performance-based Contracting.** To fulfill America's Federally funded education programs, a large number of contracts for goods and services are necessary. Performance-based contracts help to ensure that the American taxpayers receive results and that good financial management and stewardship support education goals. The Department's contracts are evaluated on several points to ensure sound financial management of our Nation's education dollars.

## Indicator 4.6.a. Auditors will issue an unqualified (clean) opinion on the Department-wide annual financial statements every year.

**Assessment of Progress.** Significant improvement toward target made. In FY 1998, our general ledger software proved inadequate for the Department's needs. Inadequacies in the system led to difficulties in producing financial statements that ultimately translated into a disclaimer of opinion (no opinion). Temporary solutions referred to as "work-arounds" have and will mitigate the current system limitations for FY 1999 and FY 2000 until a new system is in place. In addition, the department did not adequately perform reconciliations and could not provide sufficient documentation to support transactions. Our goal for the FY 1999 financial statements is to receive an improved opinion, and for the FY 2000 financial statements is to receive an unqualified opinion.

The process of replacing the general ledger software package is under way and will be completed in December 2001. The new software will not be implemented in time to affect the Department's 1999 or 2000 financial statements. In the interim, we have designed and will use software tools that use the current general ledger software source data to produce auditable financial statements. These tools will assist the Department achieving reductions in material weaknesses and reportable conditions.

While material weaknesses and reportable conditions do not necessarily prevent the Department from receiving a clean opinion, weaknesses make it more difficult to audit the financial statements. By reducing, eliminating, and preventing weaknesses, the Department is assured better quality financial data. By FY 2000, there will be a significant reduction in the number of material weaknesses and reportable conditions identified in the auditor's reports.

In FY 1999, the Office of the Chief Financial Officer (OCFO) planned and began implementing significant process changes to ensure better financial data and a clean audit opinion:
- Developed in-house reporting tool for the preparation of the FY 1999 financial statements.
- Conducted financial statement training to strengthen staff skills.
- Created a consolidation team to focus solely on financial statement preparation and consolidation and acquired contractor resources to support FY 1999 statement preparation.
- Analyzed data to improve data integrity and corrected unnatural balances.
- Delivered FY 1999 trial balances and financial statements as scheduled.
- Purchased reconciliation automation software.
- Implemented formal procedures for tracking and controlling manual adjustments.
- Developed new reconciliation tools to automate parts of the data match process between Treasury and general ledger.

Figure 4.6.a.1

| Fiscal Year | Audit opinion | Material weaknesses** | Reportable conditions*** |
|---|---|---|---|
| **1997** ***actual*** | Unqualified | 4 | 3 |
| **1998** ***actual*** | Disclaimer* | 3 | 4 |
| **1999** ***target*** | Unqualified | 1 | 3 |
| **2000** ***target*** | Unqualified | 0 | 2 |
| **2001** ***target*** | Unqualified | 0 | 0 |

***The FY 1998 financial statements received a disclaimer (no opinion) due the inadequacies and difficulties of the financial management software system. The system is being replaced.***

** **Material Weakness –** *The design or operation of one or more of the internal control components that do not reduce to a relatively low level the risk that error or irregularities in amounts that would be material in relation to the financial statements being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions.*

*** **Reportable Condition –** *Significant deficiencies in the design or operation of internal control that could adversely affect the entity's ability to record, process, summarize, and report financial data consistent with the assertions of management in the financial statements.*

**Source:** Annual Auditor's reports. *Frequency:* Annual. *Next Update: FY 1999 Financial Statement Audit Report (due from auditors in* March 2000). **Validation procedure:** Independent auditors follow professional standards and conduct the audit under the oversight of the Office of the Inspector General. The Inspector General participates in the conduct of the audit and the reporting/tracking of material weaknesses. **Limitations of data and planned improvements:** None.

## Indicator 4.6.b. Evaluation of contracts will indicate that better than fully successful performance, including quality, cost control, timeliness, and other factors, is being received by the government and the taxpayer.

**Assessment of Progress.** The Department of Education has increased the number of performance-based contracts in place between FY 1998 and FY 1999 by almost 350 percent. The value of the goods and services represented by these contracts has also increased by more than 350 percent. The Department evaluates each contractor's performance based on their contract, and approximately 5 percent of the contractors have improved their performance.

Figure 4.6.b.1

| Fiscal Year | Number of contract actions awarded based on performance objectives | Contract dollars based on performance objectives (in millions) | Contractor past performance ratings (percent improved) |
|---|---|---|---|
| 1998 *baseline* | 20 | $ 41 | 0% |
| 1999 *actual* | 72 | $142 | 5% |
| 2000 *target* | 108 | $213 | 5% |
| 2001 *target* | 162 | $319 | 5% |

**Source:** U.S. Department of Education Contract Data (from The Department of Education's Central Automated Processing System (EDCAPS) and actual contracts). *Frequency*: Continuous. *Next update*: Annually. **Validation procedure:** Administrative reports prepared by ED staff independently evaluated by random sampling and review. **Limitations of data and planned improvements:** The contract dollars include only new contracts and modifications to existing Performance-Based Service Contracting (PBSC) contracts awarded in a particular fiscal year. The figure does not include the "Total Cumulative Amount" of all of ED's PBSC contracts. Several contracts are long term and were put in place prior to the measurement period and lack performance measures.

## How We Plan to Achieve Our Objectives

### How ED's Activities Support the Achievement of This Objective.

To meet our national needs for high-quality financial data for decision-making and performance-based contracting that yields program results, the Department is implementing and enhancing strategies to improve financial management and integrity.

- **Provide accurate and timely financial data.** The Department is focusing on system improvement, reporting and reconciliation, and financial integrity strategies for improving accuracy and timeliness of financial data. Replacement of the Department's general ledger software system and improvement of internal controls will help achieve reductions in material weaknesses and reportable conditions. The reduction of these material weaknesses and reportable conditions will enhance the Department's ability to obtain an unqualified opinion on its financial statements.

  **System Improvement:**

  - **New General Ledger Software.** Begin a phased implementation of a new Joint Financial Management Improvement Program (JFMIP) certified general ledger (GL) software system. The new system will improve data integrity and facilitate production of required Federal reporting and financial statements.
  - **System Controls.** Enhance controls surrounding financial information systems: security plan, passwords, information technology architecture, policy and procedures, and physical security measures.

  **Reporting and Reconciliation:**

  - **Reporting and Reconciliation Tools.** Development and implementation of new reporting and reconciliation tools to enhance and automate the preparation of quarterly financial statements and monthly reconciliations.

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- **Monthly Reconciliation.** Provide timely and reliable financial information for program and support offices to use in managing their responsibilities. By 2000, the Office of the Chief Financial Officer (OCFO) will reconcile on a monthly basis and use the Department of Education's Central Automated Processing System (EDCAPS) to provide this data to users on a daily basis.
- **Recipient Accounts.** Reconcile all recipient accounts in The Department of Education's Central Automated Processing System (EDCAPS) and provide recipients with accurate data.

**Financial Integrity:**

- Continue to work toward a clean audit opinion.
- Eliminate material weaknesses and reportable conditions by correcting systemic problems and implementing polices and procedures.
- Continue to provide training of staff in core financial management competencies.
- Prepare standard operating procedures for all OCFO processes.

**Performance-based contracting.** ED is working to make each new contract performance-based, and at the same time is converting older contracts to the new performance-based standards.

**Implementing performance-based contracting:**

- Control costs by implementing performance-based contracting and by repatriating work contracted out when effective and possible within staff ceilings.
- Review every contract for the maximum use of effective performance objectives and measures to assess the value provided in order to determine extent to which the goods and services the Department is receiving represent better than successful performance.
- Linking contract language to the goals and objectives of the Department's strategic plan to align and support the Department's education mission and goals.
- Continue to provide training to all ED procurement and technical personnel in their capability to productively manage the performance of contractors.

- **Converting old contracts to performance-based contracts:**
  - In FY 1997, ED pledged 66 future recompetitions for conversion to performance-based service contract requirements. As of the end of FY 1999, 45 of those conversions have occurred and 32 new requirements have been put in place. The systems life value of these contracts is more than one billion dollars.
  - More than 250 ED personnel with acquisition responsibilities have received basic training in the principals of performance-based service contracting.

## How We Coordinate with Other Federal Agencies

- **Financial management:**
  - The Department is responsible for the delivery of financial data to program managers, ED recipients, the Office of Management and Budget (OMB), Treasury, and Congress.
  - ED's financial management goals are made consistent with government-wide strategies and initiatives as required by the OMB, the Chief Financial Officers Council, Joint Financial Management Improvement Program, the General Accounting Office (GAO), and the Department of Treasury.
  - The Department also coordinates, or is working to coordinate, with other Federal agencies in the area of debt collection by sharing information that will facilitate debt collections and improve management controls.

- **Performance-based contracting:**
  - **Office of Federal Procurement Policy, Small Business Administration, and other agencies on performance-based contracts.** The Department will continue to maximize the use of government-wide acquisition system resources and work with the Office of Federal Procurement Policy, Small Business Administration, and other agencies that can assist with applying best practices and lessons learned for similar-type requirements. For example, the Department has been able to use the efficiencies of government-wide contract vehicles but also build performance-based requirements into individual orders. We also worked with the Office of

Federal Procurement Policy on ways to improve earlier efforts in performance-based contracts as well as being able to assist other agencies as they develop performance-based requirements in financial management, research and analysis, and information dissemination.

## Challenges to Achieving Our Objective

Any improvements the Department makes in the performance of its contract resources requires equal commitment from its business partners and agreement on meaningful performance objectives and measures. Initially, we had to contend with working with the private sector in new ways—viewing how both sides value the goods and services provided to us. Our efforts to increase the number of performance-based requirements has been a learning experience for our contractors. A performance-based relationship is a new first-time experience for many contractors who have had to adapt to do business with the Department. As businesses gain experience, we expect improved ability to develop and compete future performance based contracts with less effort and greater alacrity. We would also expect to improve competition as well as the evolution of improved performance measures.

**FY 1998 Financial Statements Audit.** The current general ledger software system was unable to produce financial statements automatically, which ultimately resulted in the auditors' inability to render an audit opinion. A new system is in the process of being implemented. In addition, reconciliation automation software is being implemented to speed and improve the reconciliation process.

**Duplicate Improper Payments.** The Student Financial Assistance (SFA) program and the Office of the Chief Financial Officer (OCFO) have made some duplicate improper payments. The Department takes this issue very seriously and is working to enhance procedures to prevent any improper or duplicate payments.

To improve identification of improper payments, SFA and OCFO will be doing additional work with the offices that have monitoring and oversight responsibility for postsecondary institutions, lenders, and guaranty agencies. Procedure changes have been implemented in the OCFO to prevent duplicate payments.

## Objective 4.7: All levels of the agency are fully performance-driven.

### National Need

**National Concerns.** In concert with the Government Results and Performance Act, ED has established a functional strategic planning system for the agency, has moved to integrate its employee performance rating and reward systems with the accomplishment of strategic goals, and is improving the quality and availability of data for its performance indicators. These activities will remain key strategies for FY 2000.

**Our Role.** The first responsibility of a government agency is accountability. We must have rigorous performance information and evaluation systems that allow us to assess how well our programs are administered and the degree to which the programs achieve the goals of the authorizing legislation. ED's strategic planning and information systems increase accountability within ED and to outside audiences for our results and our stewardship of Federal funds.

### Our Performance

**How We Measure.** Performance indicators in Objective 4.7 identify the extent to which sound performance data are effectively used throughout the agency. These indicators address employee understanding of their contribution to ED's goals and objectives and managers' use of performance data for improvement, as well as the quality of that performance data.

### Indicator 4.7.a. External customers such as Congress, OMB, or national associations will rate the Department's Strategic and Annual Plans high on quality and usefulness.

**Assessment of Progress**. Positive trend toward target. In meetings with customers and stakeholders, ED has received very positive feedback about our processes and interim products.

**Ratings of ED Plans and Reports**

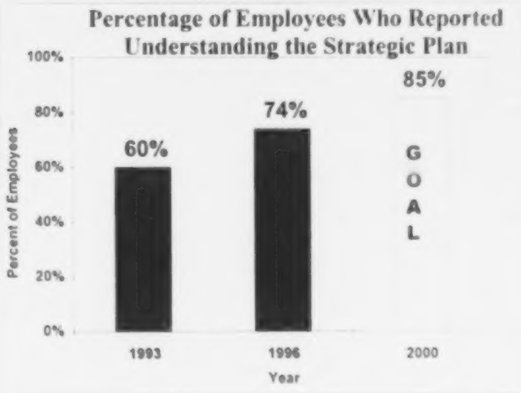
- House staff rated ED's Strategic Plan 1998-02 as second-highest among Federal agencies in terms of overall quality and responsiveness to Results Act requirements.
- House staff rated ED's FY 1999 Annual Plan (submitted in 1998) as third-highest among Federal agencies.

### Indicator 4.7.b. Employees will recognize the Strategic Plan as meaningful and understand how their work supports achieving the plan's goals and objectives.

**Assessment of Progress.** No 1999 data are available, so we are unable to judge progress. Critical to agency performance on this objective is the extent to which employees understand, support, and actively work toward achieving the agency's goals and objectives. From 1993 to 1996, there was an increase of 15 percentage points in reported employee understanding of how the goals and strategies support the mission of the Department. In part this increase may have been due to the development and release of the

Department's first Strategic Plan in 1994. Distribution of ED's 1998-02 Strategic Plan kicked off implementation efforts that for the 4-year period from 1996 to 2000 should produce at least a similar increase.

Figure 4.7.b.1



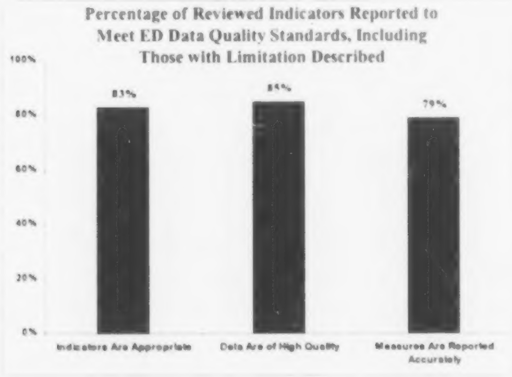
**Source:** U.S. Department of Education Employee Survey, 1993 and 1996. *Frequency:* Annual. *Next Update:* 2000. **Validation procedure:** Data validated by internal review procedures of an experienced data collection agency. **Limitations of data and planned improvements** Opinion data are subjective and often subject to outside influences.

## Indicator 4.7.c. By 2000, all ED program managers will assert that the data used for their program's performance measurement are reliable, valid, and timely, or will have plans for improvement.

**Assessment of Progress**. Progress toward target. In FY 1999, ED implemented the first phase of our data attestation process for the 122 indicators for our largest programs, which account for about 90 percent of our budget. Each of the programs reviewed its FY 2000 budget indicators to evaluate each indicator on whether or not it met ED's data quality standards. These reviews were discussed by division directors and assistant secretaries. The assistant secretaries then signed statements attesting that their indicators met ED's data quality standards or that they had plans for their improvement. (For more information of the data quality process, please see the *Verification and Validation* section of this volume.)

Figure 4.7.c.1 shows programs' ratings of their indicators, which resulted from the data attestation process. Ratings are broken out in three areas of the standards for the 103 indicators for which the data attestation process was completed. A majority of the indicators met the standard or met it with limitations clearly identified. Where the indicator did not meet the standard, programs provided plans to improve the indicator, data, or reporting. Even where the indicators met the standard, many programs cited plans for further improvement. Overall, more than half of the indicators were submitted with some form of plans for the improvement of the data quality, and 40 percent included plans specifically for improving the verification and validation of data.

Figure 4.7.c.1



**Source:** ED Attestation Forms for 122 indicators. *Frequency:* Annual. *Next Update:* 2000. **Validation procedure:** Review by Inspector General's office planned. **Limitations of data and planned improvements.** Preliminary data subject to review. Percentages include attestations with limitations described. The attestation process was undertaken for 122 indicators, about 10 percent of the total number of ED indicators. This analysis is based on those attestation forms that were returned. Attestation forms for 19 indicators (16 percent of the total) were not returned.

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## How We Plan to Achieve Our Objective

**How ED's Activities Support the Achievement of This Objective.** ED's efforts to help all levels of the agency become fully performance-driven fall into four categories:

- **Sound implementation of the Strategic Plan.** The Strategic Plan is the foundation for all programmatic activities in the Department. To ensure increasing success in our programmatic activities, the Department will continue to
    - track progress on performance indicators and strategies as well as to simplify our reporting of progress, we will develop a new electronic reporting system.
    - align performance appraisals and rewards for assistant secretaries, senior managers, and employees with Strategic Plan objectives and to expand tracking and reporting requirements instituted within our personnel systems.
    - recognize performance improvements and strengthen areas needing assistance, monetary awards and recognition programs are being revised.
    - communicate plan priorities and to work collaboratively to identify challenges and improvement strategies, we are implementing new internal communication strategies, including expanded use of the Department's Intranet as a resource for strategic planning efforts.
    - request an independent assessment of means to improve the implementation of the Strategic Plan within ED.
    - increasingly align grantee performance reports with our strategic goals to ensure a unified and strategic focus in our activities.

- **Strong budget support for planning and performance measurement.** The structure of ED's FY 2001 budget request reflects the Strategic Plan and includes funding for evaluations, performance measurement, statistics, and assessments needed to comply with the Results Act. Funds for salaries and expenses are distributed among the "management" objectives, showing where we are placing priorities for resource use. In FY 2000, the Department will continue to
    - present an integrated budget by linking performance reporting, budget goals, and strategic objectives.
    - provide effective financial resources for evaluations, performance measurement, and statistics and assessments by aligning resource allocations with agency priorities and performance.
    - implement performance measurement and align training resources to support development of skills needed by Department employees for implementation of performance measurement by conducting an assessment of training needs.

- **Ensuring assessment of the quality of data systems.** The quality of a performance measurement process is no better than the quality of the data collected. By FY 2000 all managers will have attested to the quality of their performance data or have improvement plans in place. During FY 2000, ED will undertake the following actions:
    - Ensure credible and reliable data, we will implement data quality standards for the Department's largest programs, which account for 90 percent of ED's budget.
    - Ensure the use of timely and accurate information, we will monitor program managers' improvement plans for key performance data systems.
    - Make decisions based on recent and accurate data, we will update guidance for ED managers on developing and monitoring quality data systems and the use of data to manage program performance.
    - Assess the quality of information systems critical for obtaining the data needed to meet the Results Act, we are working with the Office of Inspector General and using program evaluations and reviews. Specific priorities are to evaluate data quality for state-grant programs and student aid data systems.

- **Strengthen ED's Annual Plan.** We have substantially strengthened and expanded our annual performance reporting and our annual planning process. We have:

  - Included baseline information for most indicators for objectives in the Annual Plan and Report compared with 44 indicators with baselines in the 1999 Plan.
  - Included at least one outcome indicator with baseline data for 59 program plans compared with 38 program plans in the FY 1999 plan.

- **Performance Agreements**
  - To hold ED's senior staff accountable for achieving the goals of the strategic plan by strengthening performance agreements and reporting.

## How We Coordinate With Other Federal Agencies

ED staff are actively involved with other agencies in the exchange of Strategic Planning and Data Quality issues. ED staff have presented at the Office of Personnel Management and the Departments of Agriculture and Treasury. The Office of Management and Budget and the General Accounting Office have also provided ED with advice.

## Challenges to Achieving Our Objective

ED faces two challenges in successfully becoming a performance-driven organization. It is difficult to change an organization's culture to become more focused on performance measures and to increase accountability for results. Although change is certain, it is a process that requires continuous reinforcement throughout the organization. Overcoming organizational inertia is a daunting challenge.

Much of the work ED undertakes is in concert with our partners. We work with states, schools, institutions of higher education, and many other partners. Until we are able to fully coordinate our partners—with a high degree of alignment of our goals and performance measures with their goals and performance measures—we cannot be as fully performance-driven as we hope to become. Working with our partners on developing integrated performance systems and strategic goals is quite challenging. Our successes will allow us, with our partners, to become increasingly effective in achieving our mission: to ensure equal access to education and to promote educational excellence throughout the Nation.

# Improving Our Data and Information Systems

The Department of Education (ED) faces multiple challenges in acquiring high-quality outcome data. Federal money constitutes less than 10 percent of the investment in education nationally, and ED's dollars are often combined with local, state, and other Federal monies, making it difficult to isolate the impact of congressionally appropriated program funds. This mix of funds at the local level also poses challenges for the program managers and practitioners who are asked to complete multiple Federal, state, and local performance reports, each of which require slightly different data. In addition, local implementation of the same Federal program often differs dramatically, which adds challenges to collecting a common core of outcome data.

To address those challenges and to meet the goals of ED's Strategic Plan, three major strategies have been developed, of which two are long-term and one is short-term:

*Long-term:*

- Create a new integrated data system for elementary and secondary education data that coordinates data systems with states.
- Improve old data systems, particularly for postsecondary financial aid data.

*Short-term:*

- Develop a system that continuously fosters attention to and improvement in our programs' data quality--the Data Quality (DQ) Initiative.

In the long term, two strategies have been developed, one for elementary and secondary education and one for postsecondary education. For elementary and secondary education, plans were developed for an integrated program data system and a two-state test of concept was completed. The Integrated Performance and Benchmarking System streamlines and integrates existing data systems to improve their timeliness and utility. For postsecondary education, the focus is on improving old systems through extensive reviews and audits.

In the short term, all ED programs will participate in its DQ Initiative, a system designed to promote discussion of, attention to, and improvement in the overall quality of ED program performance data. Each of these strategies are discussed in the following pages.

## Long-term Strategy #1: Creating a New Data System for Elementary and Secondary Education Programs

An important component to the information improvement strategy is a long-term plan to create an Integrated Performance and Benchmarking System (IPBS) for elementary and secondary program data collection. The IPBS is a vision of an Internet–based system for harvesting information from states regarding Federal program activities at the school and district levels. The system would allow users to link Federal program participation and outcome information to characteristics of recipient states, districts, and schools. The IPBS could help to meet policy makers' need for timely, outcome–based information while streamlining, modernizing, and reducing the reporting burden on states from Federal information requests.

The IPBS relies on a new approach to Federal–state exchange of information about Federal program outcomes. States will no longer send data to the Federal government. Rather, states will collect and store the data in their own warehouses in such a way that the Federal government can harvest them. States will monitor and ensure the quality of district- and school-collected data.

Specifically, the IPBS is

- **A shared set of core data and performance indicators.** ED and states will work together to identify key policy questions about program outcomes and characteristics of program recipients. Examples of key performance indicators appear in Exhibit 4.
- **An electronic data harvesting system designed to minimize the burden on states.** The IPBS will harvest data from state administrative records and will be designed to be compatible with modern state data systems.
- **A program database resource shared by ED and states.** Reports could include a national education report card displaying progress on key Department Strategic Plan performance objectives and annual performance reports.

**Exhibit 4.**

### Examples of Key Performance Indicators (IPBS Test of Concept 1999-2000)

1. **High school attendance and graduation rates:** We will measure progress toward our goal of continually improving attendance and graduation rates, particularly in high-poverty schools and among students with disabilities and others at risk of failure.
2. **Aligned Assessments:** We will measure progress toward our goal that, by 2001, all states will have assessments aligned to challenging content and performance standards for two or more core subjects.
3. **School Choice:** We will measure progress toward our goal that, by 2003, 25 percent of all public school students in grades 3-12 will attend a school that they or their parents have chosen.
4. **Computers:** We will measure progress toward our goal that, by 2001, the ratio of students per modern multimedia computer will improve to 5:1.
5. **Achievement Tests:** We will measure progress toward our goal of having increasing percentages of all students meet or exceed basic, proficient, and advanced performance levels in National and state assessments of reading, math, and other core subjects.

ED sponsored a two-state test of the concept to explore the feasibility of the IPBS. This test was undertaken in partnership with the Council of Chief State School Officers and the states of Nebraska and Oregon, and the objectives were as follows:

- To assess the feasibility of the IPBS on a small scale by harvesting current-year program performance data from two state data warehouses via the Internet and using the data to create a Web site and database.
- To assess the types of technical assistance states may require to modify their data warehouses and collection methods to be able to participate in data harvesting.
- To use the experiences gained from the two-state trial to better estimate the required costs, time, and challenges involved in developing a full-scale IPBS.

To assess feasibility, we started with two states with substantially different data systems. The test of the concept version of the IPBS includes data on all districts and schools in Nebraska, with the exception of achievement data, which are available only for Title I schools. The test also includes data from the 15 districts and 325 schools that are participating in Oregon's Data Base Initiative.

We focused on a few data elements from several elementary and secondary Federal education programs, in particular the following:

- Title I
- Technology Literacy Challenge Fund
- Safe and Drug Free Schools
- IDEA Part B
- Eisenhower Professional Development Program
- McKinney Homeless Assistance
- Perkins
- Title VI
- Impact Aid
- Goals 2000

The Department is now studying whether or not to expand the test of the concept to a pilot phase with additional states and programs.

## Long-term Strategy #2: Improving Postsecondary Data Systems

**Validity and accuracy of postsecondary performance measures**. Data used to measure progress toward achievement of the performance indicators come from several sources, including program data, surveys conducted by the National Center for Education Statistics (NCES), and evaluation studies. Steps taken in 1999 and 2000 to strengthen the quality of these data include the following:

- Improving the coordination of data related to postsecondary education through the National Postsecondary Education Cooperative (NPEC), which is sponsored by NCES with the mission "to promote the quality, comparability, and utility of postsecondary data and information that support policy development, implementation, and evaluation." NPEC will help improve the efficiency and usefulness of the data reported on postsecondary education by standardizing definitions of key variables, avoiding duplicate data requests, and increasing the level of communication among the major providers and users of postsecondary data.

- Continuing to support and strengthen NCES's major postsecondary data collection activities, including the Integrated Postsecondary Education Data System (IPEDS), the National Postsecondary Student Aid Study (NPSAS), the Beginning Postsecondary Student Study (BPS), the Bachelor's and Beyond Study (B&B), and the National Education Longitudinal Study (NELS). A major area of expected improvement in the quality of these data collections is the use of the Internet to obtain data from institutions. The use of the Internet will also reduce the burden on institutions of providing data to ED.

- Using the $3 million provided in fiscal year 2000 for the GPRA Data/HEA Program Evaluation Program to improve the amount, quality, and timeliness of information on the performance of postsecondary education programs. The funds will be used to begin evaluations of the Title II programs, support major NCES data collections, and obtain more accurate and timely data on the performance of student aid and higher education programs.

**Accuracy and efficiency of program data systems**. In fiscal year 2000, the Department of Education will provide over $51 billion in Federal student aid funds. To properly distribute and account for these funds, the Department of Education needs to process and store data from over 8.5 million student aid applications, 93 million individual student loans with a value of more than $150 billion, 6,000 postsecondary institutions, 4,100 lenders, and 36 state guarantee agencies. Ensuring the accurate and efficient collection of these data is a key component in the successful delivery of the student aid programs and achievement of Goal 3 in ED's Strategic Plan, which is to "Ensure access to postsecondary education and lifelong learning."

The Higher Education Amendments of 1998 established a performance-based organization (PBO) to modernize the delivery of student financial aid. This is an historic milestone in the Administration's efforts to improve services to millions of students and the postsecondary institutions they attend. The PBO will make it possible to meet these challenges and keep pace with the rapid rate of technological change in the financial services industry. Customer service will improve, and the public's confidence in the administration of student aid programs may grow as a result. Steps being taken by the PBO to improve data accuracy, which improves the efficiency and quality of the student aid delivery system, include the following:

- Continuing or expanding interagency coordination on data matches—with the Internal Revenue Service; the Social Security Administration; the Immigration and Naturalization Service; the Selective Service; the U.S. Postal Service; and the Departments of Defense, Justice, and Housing and Urban Development—to help reduce the burden on respondents.
- Establishing industry-wide standards for data exchanges to stabilize data requirements, improve data integrity, and reduce costly errors.
- Receiving individual student loan data directly from lenders rather than through guarantee agencies and expanding efforts to verify the data reported to the National Student Loan Data System.
- Working with the IRS to establish procedures for verifying income tax data provided by students and their families in applying for Federal student financial assistance.
- Strengthening indicators of customer satisfaction to provide early warnings of possible delivery system problems. This step will build on ED's successful, ongoing evaluations of its institutional and student aid customers.
- Refining a risk management system that encompasses all relevant data regarding postsecondary institutions' operation and management of student aid programs, so that compliance and enforcement activities can be targeted to poorly performing institutions.
- Preparing a system architecture for the delivery of Federal student aid that will help integrate the multiple student aid databases based on student-level data, to improve the availability and quality of information on student aid applicants and recipients.

## Short-term Strategy: The DQ Initiative

### DQ Initiative Process

During 1999, the first phase of the DQ Initiative was implemented. Exhibit 5 summarizes the four main components of the initial phase.

- Develop DQ Standards
- Train Staff
- Monitor and Improve DQ
- Increase Accountability

**Exhibit 5**

### 1999 DQ INITIATIVE

*May-September 1999*

**Develop DQ Standards**

1. A team including Planning and Evaluation Service, OIG, National Center for Education Statistics, program representatives, and outside ED experts worked to determine data quality standards applicable across ED programs.
2. Six general principles of data quality were established (see Exhibit 6).

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*In October 1999, 30 programs received training.*

**Train Staff in Half-Day Sessions**

1. Reviewed DQ standards.
2. Gave successful examples from inside ED.
3. Discussed fictional case study highlighting DQ issues.
4. Had each program group (one person from the program office, one from Planning and Evaluation, and one from Budget) discuss how the standards applied to their programs.

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*November-December 1999*

**Monitor and Improve DQ**

1. Implemented staff performance agreements.
2. Evaluated DQ process (*see DQ Results, next section*).
3. Received review by the Office of the Inspector General.

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*January 2000-April 2000*

**Increase Accountability**

1. Required managers and assistant secretaries to review and attest to the quality of their data or have plans to improve it.
2. Gave and received feedback to/from each office about the DQ process and level of ED DQ.
3. Increased external validation through additional OIG audits and program evaluations.

The DQ Standards are six standards for judging program DQ (see Exhibit 6). These standards were developed by statisticians and other experts in data collection; they were written in nontechnical terms so nonexperts could understand them. Although simple in principle and easy to remember, the standards have broad applications and implications for current ED data systems. After training in these standards, ED staff reviewed their program data and, as a part of the new data accountability, reported this information to their assistant secretaries, who then signed a formal attestation that their data are sound or that they have plans to improve the data. These attestation forms were then sent to the Office of the Under Secretary.

While next year all ED programs will participate in the initiative, this year it was mandatory for the 17 largest of our programs, which constitute 90 percent of the budget. An almost equal number of programs volunteered to participate, for a total of about 30 programs.

*Develop DQ Standards.* The Department now has a working draft of DQ standards entitled "Standards for Evaluating the Quality of Program Performance Data" (see "Data Quality Standards" appendix and Exhibit 3). Since 1998, the Planning and Evaluation Service (PES) office of ED has been developing these standards in close consultation with the OIG, the National Center for Education Statistics, and several program offices.

**Exhibit 6**

**DQ Standards and Sample Checklist Questions**
**(1999 Working Draft)**

1. *Validity*: Data adequately represent performance.
   Have the objective, performance indicator, and data been scrutinized to be sure that they all describe the phenomena of interest?
2. *Accurate Description*: Definitions and counts are correct.
   Have clear, written definitions of key terms (including inclusions/exclusions) been communicated to data providers?
3. *Editing*: Data are clean.
   Have you discussed large changes or unusual findings with the primary data providers to see if they might be due to editing errors?
4. *Calculation*: The math is right.
   Have the + or – confidence intervals been reported for sample data?
5. *Timeliness*: Data are recent.
   Is a regular schedule of data collections in place to meet policy information needs?
6. *Reporting*: Full disclosure is made.
   Are data quality problems at each level reported to the next level?

(Complete DQ Standards are found in the Appendix)

*Train Staff.* In 1998, the Inspector General found that a lack of staff qualified in "information processing, evaluation, and reporting" and the "difficulty of analyzing and interpreting performance measurement data" were two of the three most frequently identified barriers to successful GPRA implementation. We reacted to this finding by developing and providing DQ training. This past year, nearly 30 programs and 100 ED staff participated in the training. Each of the participating programs was trained to assess the quality of its data using checklists based on the standards. Program managers then submitted their completed checklists and forms through their division directors to their assistant secretaries, who discussed DQ problems and resource needs. Assistant secretaries then attested to the quality of their data or submitted plans for improvements.

The attestation forms were designed in the spirit of full disclosure; the Department emphasized that it was essential to reveal the current quality of the data for us to advance the quality of our data overall. To encourage full disclosure and continuous improvement, programs were told that what mattered most were their plans to improve the data and subsequent implementation of those plans. Programs would not be held accountable for the current level of DQ but would be held accountable for developing—and following through on—plans for improvement.

*Monitor and Improve DQ*. The Planning and Evaluation Service reviewed the attestation forms that were submitted by program offices and discussed with each office the accuracy and validity of its data and its plans to improve that data. As a part of this review process, PES also looked for opportunities for intra- and interagency collaboration in data collection efforts.

Staff from the Office of the Inspector General (OIG) attended DQ training and reviewed the implementation of the DQ Initiative.

*Increase Accountability*. In ED's fiscal year 2000 performance plan, the Department demonstrated its commitment to achieving high-quality data by adding this indicator: "By 2000, all ED program managers will assert that the data used for their program's performance measurement are reliable, valid, and timely, or will have plans for improvement." In 1999, ED was well under way to meeting this goal. Through the DQ attestation process, assistant secretaries gained (1) a greater awareness of their data, particularly its weaknesses; (2) resource and staffing needs required for high-quality information; and (3) systems information they need to think strategically about the initiation of new systems to improve ED data over the long term and intra- and interagency coordination.

The preliminary results of the DQ Initiative are presented in the following section.

### DQ Pilot Project Findings

At the foundation of the DQ Initiative were two basic goals: (1) to begin discussions about DQ by focusing the attention of data managers and assistant secretaries on the issues of DQ, and (2) through those discussions, to begin to improve the overall DQ within ED. Given these goals, the first phase of implementation seems to have been successful.

Three people associated with data collection in each program assessed the DQ for each indicator in the congressional budget justification for their program. Each program submitted approximately three forms (programs had on average three budget indicators each).

The results appear in Exhibit 7. Most indicators met the standard, many with limitations. Only about 4 percent of indicators failed entirely to meet the standards.

- Standard 1, *Validity*. Nearly half of the indicators met the standard without any limitations identified (45). Over 80 percent (84) met the standard without any limitations or with some with limitations identified.
- Standards 2-5, *Accuracy, Editing, Calculation, and Timeliness*. This proved to be the most difficult to meet without limitation. Only about 30 percent of indicators met the standards. About 87 percent of indicators met the standards or met them with some limitations identified.
- Standard 6, *Reporting*. Approximately 61 percent of the indicators met the standard, and another 19 percent met the standard with some limitations.

**Exhibit 7**

**Summary of Assessment of ED Data Quality (DQ)**

| | **Std 1** | **Std 2-5** | **Std 6** |
|---|---|---|---|
| | *Validity* | *Accuracy, Editing, Calculation, Timeliness* | *Reporting* |
| Met Standard | 45 | 30 | 61 |
| Met Standard w/ Some Limitations | 39 | 57 | 19 |
| Did Not Meet Standard | 3 | 2 | 5 |
| Other (e.g., "N/A," waiting for data) | 16 | 14 | 18 |
| **Total number of indicators for which attestation forms were submitted** | **103** | **103** | **103** |

Exhibit 8 shows that three-quarters (74 percent) of the submitted attestation forms included plans for improving the quality of program data. Of those, over 70 percent cited relatively significant plans for improvement. For example, the Office for Civil Rights reported that it intended to replace its current Case Information System (CIS) with an entirely new data collection system, and they are exploring interim solutions (e.g., "adding a field in CIS for annotations") until the new system is in place. The Office of Bilingual Education reported that it was going to disseminate evaluation guidance with uniform instructions, move to an annual evaluation report to increase the frequency of data, and expand monitoring specifically to include discussions about data quality (DQ). Some offices focused on specific aspects of DQ. For example, the Regional Laboratories reported that it is going to develop a cross-Laboratory policy regarding follow-up with non-respondents to surveys.

For data verification and validation, about 60 percent of the attestation forms cited plans for improvement. Offices reported beginning to institutionalize various forms of validation and verification, including cross-checks (e.g., Eisenhower program), peer review (e.g., Compensatory Education Program), periodic data review (e.g., Impact Aid), follow-up on missing data (e.g., Foreign Language Assistance), and using data from other ED offices (e.g., Technology Literacy Challenge).

**Exhibit 8**

**Summary of Data Quality and Verification/Validation Plans**

| | **In-depth Plans for Improving Data Quality** | **Plans for Further Verification & Validation Efforts** |
|---|---|---|
| Cited Plans for Improvement | 54 | 40 |
| Minimal Plans | 21 | 20 |
| No Current Plans | 20 | 31 |
| Other (e.g., "N/A," waiting for data) | 8 | 12 |
| **Total Number of Attestation Forms Submitted (One Form per Indicator)** | **103** | **103** |

An additional goal of the first phase of implementation was to test and improve the implementation of the Data Quality Initiative (DQI). We learned through this pilot project that the process works very well for program-specific indicators, but it does not work well with cross-cutting indicators. An indicator such as "all schools will use technology" or "all children will learn to read" cut across many of our programs. However, the attestation process is organized by program, not indicator. Since we are striving to have many cross-cutting indicators to reflect our core processes, we our looking for ways to amend the current attestation process to facilitate and even encourage indicator-driven collaboration and DQ reviews. In addition to these observations, we are collecting information about how to continue to improve the DQI through the following:

- Training evaluation forms
- Focus groups with project teams (one person from each office: Program, Budget, and PES) and individual offices (e.g., only PES staff)
- Individual interviews with program managers, assistant secretaries, budget analysts, and PES staff

From the evaluation forms, it seems that the 1999 first phase DQ training sessions were generally well received. The participants rated both the training sessions and the materials 7 out of 10 possible points, where 10 is high. On their evaluation forms, the training participants also gave some important feedback that ED is using to revise the training sessions for next year.

It is our goal to expand and improve the training sessions and DQI issues in the Department over the coming years, so the quality and timely use of our performance data will continually improve.

# Changes in Indicators and Targets

Indicators must change over time as part of the process of continual data improvement. As the Department of Education has become more knowledgeable about the Government Performance Results Act (GPRA), we have been improving our performance indicators and integrating more sophisticated performance measures into our Performance Plan. The focus and target have changed in some indicators, new indicators have been added and others have been deleted. We are tracking these changes to present a statement of our progress in improving our performance indicators as well as a full report of the changes.

Most of the indicators that have changed did so between fiscal year 1999 and fiscal year 2000. This was expected, because we were just beginning to learn about GPRA reporting. During the past year, our indicators, data collection, and reporting process have been stabilizing. Some measure of change will always be a part of performance indicators as policy needs change, targets are met and exceeded, and improvements arise in data collection methods.

**Increasing Focus: Decreasing the Number of Indicators**

Some indicators in the fiscal year 2000 plan were useful in determining program progress, but they did not allow us to directly demonstrate progress in the areas of data collection process, educational outcomes, or national goals. These have been omitted from this year's Annual Plan and may be retained for internal management and tracking purposes only. One example of this type of indicator is fiscal year 2000 Indicator 21 *"By 1999, all states will conduct periodic statewide surveys or collect statewide data on alcohol and drug use of students and incidents of crime and violence in schools."* This indicator was deleted from this year's Annual Plan because its focus was more on process than on outcomes. Approximately one-third of the indicators from last year's Annual Plan were removed from this year's Annual Plan under this guideline.

The second category of deleted indicators are those for which data were not of high quality and could not be improved; therefore, we could not report on program progress. These indicators have been omitted from this year's Annual Plan, and they have not been retained for internal management purposes. Where appropriate, new indicators, for which resources and data will be available, have been created to better measure the strategic goals and objectives of the Department.

The final category of deleted indicators are those that overlapped with other indicators. For example, fiscal year 2000 Indicator 42 *"At least 60 percent of teachers, school administrators, and school librarians will have been trained on use of computers and the Internet to help students learn by 2001"* was dropped from this year's Annual Plan because it overlapped with this year's Indicator 1.7.f *"By 2001, at least 50 percent of teachers will indicate that they feel very well prepared to integrate educational technology into instruction"*.

**Increasing Utility: Modifying the Focus of Indicators**

Programs have been working hard to improve their indicators as the Department of Education incorporates performance planning into the GPRA framework and becomes more sophisticated at writing indicators. Indicators were modified where clear improvements could be made. For example, modifications may include adding a numerical target to the text of the indicator and choosing indicators that better match program outcome goals. For example, Indicator 1.7.c: *"The* *percentage of public school instructional rooms connected to the Internet (Information Superhighway) will increase from 14 percent in 1996 to higher percentages thereafter"* was modified to reflect the 2000 target of 100 percent, and now reads *"The percentage of public school instructional rooms connected to the Internet (Information Superhighway) will increase to 100 percent by 2000."*

**Increasing Scope: Responding to Additional Data Needs**

Indicators have been added as part of the continuous improvement process in our DQ and indicator systems. The additional indicators address all aspects of the ED's strategic goals and objectives. Indicator 1.4.g is an example of this process of continuous improvement: *"There will be an increase in the percentage of new teachers who feel very well prepared to: (a) address the needs of students with limited English proficiency; (b) address the needs of students with disabilities; and (c) integrate educational technology into the grade or subject they teach."*

For a comprehensive list of indicator changes, please see the appendix "Changes from Fiscal Year 2000 Plan to Fiscal Year 2001 Plan."

**New Numbering System: Clarifying Strategic Goals**

We have instituted a new numbering system of indicators in the fiscal year 2001 edition of the Annual Plan. The indicators have been numbered and visibly linked to both their strategic goal and to their objectives. This allows for immediate recognition of the relationship between the indicator and the plan. This modification from last year's numbering system was instituted to allow individuals outside the Department to better track our indicators.

We have used a three-part numbering system: The first part is the goal number; the second part is the objective of that goal; the third is a letter that will differentiate the indicators. For example, fiscal year 2001 Indicator 1.4.c is the third indicator of the fourth objective of Goal 1. For a full correlation table, please see the appendix "Numbering System Changes from Fiscal Year 2000 to Fiscal Year 2001."

## Coordination With Other Agencies

The Department of Education (ED) recognizes the importance of unlocking the potential for more effectively achieving and sustaining our goals by coordinating with other agencies and organizations. The Government Accounting Office (GAO) has noted that we are making strides to improve interagency coordination (July 1999). However, GAO also notes that the Department needs "to continue to improve its coordination with the other agencies that provide educational services and engage in cross-cutting efforts" (January 1999). We have initiated a dual-level strategy for increasing our coordination. At the office level within ED, we encourage staff to develop collaborations by asking them to report annually on their collaboration efforts in this report and in their performance reviews. At the agency level, we are beginning to identify long-term strategic opportunities for coordination with agencies, such as Health and Human Services (HHS), that provide services to the same citizens we do and often measure similar outcomes. We are working to strengthen our coordination in three areas:

- State governments
- Nongovernmental organizations and businesses
- Other Federal agencies

Each of these areas has the potential to improve and increase the number of available services to citizens, reduce redundancies and inefficiencies in the provision of Federal services, improve DQ, and increase the long-term achievement of goals.

**Coordination with state governments.** State departments of education often share the same objectives and outcome data requirements as the Federal Department of Education. ED is looking for new ways to coordinate with states in these domains. Two strategies ED has adopted are (1) to decrease regulations while increasing accountability for results and (2) to target areas for data coordination and data harvesting.

The Education Flexibility (Ed-Flex) Partnership Demonstration Program is an example of ED's efforts to reduce regulations and increase accountability. Ed-Flex was established by the Goals 2000: Educate America Act and provides greater state and local flexibility in using Federal education funds to support locally designed, comprehensive school improvement efforts. Ed-Flex gives partnership states the power to waive requirements of certain Federal education programs, including the Title I program and the Eisenhower Professional Development program. Specifically, Ed-Flex allows the Secretary of Education to delegate, to a maximum of 12 states, the authority to waive certain Federal statutory or regulatory requirements affecting the state and local school districts and schools. A state that has developed a comprehensive school improvement plan that has been approved by the Secretary may apply for Ed-Flex. In addition, a state applying for Ed-Flex must have the authority to waive its own statutory or regulatory requirements, while holding districts and schools affected by the waivers accountable for the academic performance of their students.

Ed-Flex can help participating states and local school districts use Federal funds in ways that provide maximum support for effective school reform based on challenging academic standards for all students. Ed-Flex partnership states named to date include Colorado, Kansas, Maryland, Massachusetts, New Mexico, Ohio, Oregon, Texas, and Vermont. For example, the Fort Worth, Texas, School District received a waiver allowing it to target an extra portion of its Title I dollars to four high-poverty inner-city elementary schools. The schools were chosen for a complete overhaul on the basis of low achievement on the Texas Assessment of Academic Skills (TAAS) and other factors. Each school uses Title I funds to improve instruction for all its students; they are reorganizing staff, lengthening the school year, enhancing instruction in reading and math, providing extensive teacher training, and strengthening links to the community.

ED also recognizes the great potential to increase DQ while reducing redundancy and state data burden by coordinating state and Federal data collection efforts. Several efforts are under way to coordinate data collection efforts, the largest of which is the IPBS. The goal of the system is to reduce paperwork and streamline the Federal education program reporting system in a way that provides the Federal government, states, districts, school boards, and parents with accurate, comparable information about how Federal programs work. This system is described as a long-term strategy in the section "Improving Our Data and Information Systems" in this volume.

**Coordination with non-governmental organizations.** Research has shown that community involvement contributes to improving student outcomes. The Department realizes that this is true on a national level as well, and it has made recent moves to increase its partnerships. We are now working with numerous non-governmental organizations to achieve mutual goals. Two prominent program examples are our Partnership for Family Involvement in Education (PFIE) and the 21st Century Community Learning Centers (CLC) program.

Since parents' participation in children's learning is influenced increasingly by work schedules and other time constraints, it is crucial that businesses, community and religious organizations, families, and schools support parental and employee involvement in education. To encourage such support, we established the Partnership for Family Involvement in Education in 1994. The Partnership now has over 4,400 members and offers resources, ideas, funding, and conferences relevant to family involvement. Partners commit to increasing family participation in children's learning through various activities, including student- and family-friendly policies at the workplace, before- and after-school programs, tutoring and mentoring initiatives, and donations of facilities and technologies. For example, this past year the Partnership published *The Compact for Reading* to help families and schools develop written agreements on how they can work to improve student reading. Published with the support of the *Los Angeles Times* "Reading by 9" campaign, the Compact provides hundreds of activities to link the family at home with the classroom curriculum. Other PFIE partners include the Children's Defense Fund, the Girl Scouts, Chase Manhattan Bank, GTE Corporation, the Southern Baptist Convention, and B'nai B'rith International.

Another example of coordination with non-governmental organizations is what is happening in the 21st Century CLC program. The CLC program is an out-of-school time program and a key component of the Administration's efforts to keep children safe, encourage academic enrichment, and provide recreational and enrichment opportunities. About 1,600 rural and inner-city public schools in 471 communities--in collaboration with other public and nonprofit agencies, organizations, local businesses, postsecondary institutions, and scientific/cultural and other community entities--are now participating as 21st Century CLCs. On top of this coordination at the local level, the Charles Stewart Mott Foundation is contributing up to $55 million in technical assistance for the grantees, and the foundation coordinates at least three conferences each year with the CLC program office. In addition, the Afterschool Alliance is an emerging alliance of public, private, and nonprofit groups committed to raising awareness and expanding resources for after-school programs that grew out of the Mott-ED partnership. Initial partners of this emerging alliance are the Charles Stewart Mott Foundation, ED, JCPenney, The Entertainment Industry Foundation, *People Magazine*, Creative Artists Agency Foundation, and the Advertising Council.

**Coordination within the Federal government.** Our strategies for building interagency collaboration include the following:

- Identifying **common goals.**
- Developing **common definitions and measures.**
- Combining or streamlining **similar services.**
- Introducing **performance partnerships.**

For example, we know that HHS and ED share family health and development goals, while the Department of Justice (DOJ) and ED share goals of reducing youth crime and violence. Having identified these common goals, we are looking for opportunities for common indicators. (An example of how this process works with HHS is outlined in the next paragraph.) At the same time, we are looking for opportunities to combine or streamline similar services, such as the coordination occurring in the Safe Schools, Healthy Students Grant Initiative, through which ED, HHS, and DOJ have begun to provide grants for local coordination of schools, police departments, mental health agencies, and others to promote school safety. Finally, we are increasingly using performance partnerships to raise expectations and performance of ED and our partners.

A specific example of indicator alignment is currently occurring with HHS. ED and HHS are working to coordinate their program indicators across two programs: Even Start (ED) and Head Start (HHS). Our Even Start program is a relatively small program that offers low-income children early learning opportunities. HHS's Head Start program is a much larger program that offers healthy preschool services to low-income families. Both of these programs have indicators that assess family and child development, including literacy, health, and preparedness for school. Examples of each program's indicators appear in Exhibit 9. By aligning the indicators for the programs, we hope to be able to make comparisons and aggregate data, where in the past we could not. Over time, we anticipate that this alignment will decrease the burden and redundancies for the service providers and data collectors, who currently are required to fill out two different reports with different data requirements and definitions.

**Exhibit 9**

## Even Start (ED) and Head Start (HHS): Examples of Existing Indicators that Could Benefit from Further Alignment

| Even Start (ED) | Head Start (HHS) |
|---|---|
| Increasing percentages of parents will show significant improvement on measures of parenting skills, home environment, and expectations for their children. | Head Start parents demonstrate improved parenting skills: (a) Increase the number of children who are read to at least three times per week (1999). |
| Local Even Start projects will provide high-quality, comprehensive instructional and support services to all families in a cost-effective manner. | Head Start programs provide developmentally appropriate educational environments. Head Start parents link with educational agencies to obtain needed services. |

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Our next steps for the coordination of these two programs are (1) to continue to build leadership support, (2) to set up a coordination committee, (3) to begin to align the wording of objectives, and (4) to look for opportunities to merge data collection to increase the power of the data and reduce the burden on individual sites.

In this year's plan, ED cites coordination activities with other Federal agencies. A summary of these coordination efforts appears in Exhibit 10. For example, we have coordinated with the DOJin recently producing *Early Warning, Timely Response*, a guide for schools on how to recognize possible precursors to violence and how to address them immediately. Based on the success of that document, the team is working on a follow-up guide. ED and DOJ also partnered on producing the *Annual Report on School Safety*.

**Next Steps.** We plan to continue to focus our attention on identifying, seeking out, and building coordination within the Federal government and beyond. Specifically, over the next year, we are focusing on four coordination strategies:

- Providing leadership in ED to push program offices to seek active partnerships with other programs, agencies, organizations, and business that may have similar goals.
- Using the Data Quality (DQ) attestation process to highlight opportunities for greater collaboration within ED and with other agencies.
- Continuing to develop the data collection and alignment with states and existing state and Federal data sources.
- Building partnerships with nongovernmental organizations and business by actively recruiting them around our common goals.

In addition to these strategies, we will nurture the relationships we already have. As we have seen with PFIE and the CLC program, people will notice that we are doing something right, and they will want to get involved.

## Figure 10: Summary of Across-Agency Coordination

| Agency | Objective | | | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1.1 | 1.2 | 1.3 | 1.4 | 1.5 | 1.6 | 1.7 | 2.1 | 2.2 | 2.3 | 2.4 | 3.1 | 3.2 | 3.3 | 3.4 | 4.1 | 4.2 | 4.3 | 4.4 | 4.5 | 4.6 | 4.7 |
| **White House** | | | ✓ | ✓ | ✓ | | ✓ | ✓ | | ✓ | | | ✓ | | | ✓ | ✓ | | ✓ | ✓ | ✓ | ✓ |
| National Partnership for Reinventing Government | | | | | ✓ | | ✓ | ✓ | | ✓ | | | ✓ | | | ✓ | ✓ | | ✓ | | ✓ | ✓ |
| President's Council on Integrity and Efficiency | | | | | | | | | | | | | | | | | ✓ | | | | | |
| Office of National Drug Control Policy | | | | | | | | | | | | | | | | | | | | ✓ | | |
| Office of Science and Technology Policy | | | | | | | ✓ | | | | | | | | | | | | | | | |
| National Institute of Child Health and Human Development | | | ✓ | ✓ | | | ✓ | ✓ | | ✓ | | | | | | | | | ✓ | | | |
| **Agriculture (USDA)** | | | | | ✓ | ✓ | | | | | | ✓ | ✓ | ✓ | | ✓ | | | | | | ✓ |
| **Commerce** | ✓ | | | | | | ✓ | | | | | | | | | | | | | | | |
| **Defense (DOD)** | | | | ✓ | | | | | ✓ | ✓ | | | | ✓ | | | | | | | | |
| Army | | | | ✓ | | | | | ✓ | ✓ | | | | | | | | | | | | |
| Selective Service | | | | | | | | | | | | | | ✓ | | | | | | | | |
| Veteran's Affairs | | | | | | | | | | | | | | ✓ | | | | | | | | |
| **Energy** | | | | | | | | | | ✓ | | | | | | | | | | | | |
| **General Services Administration (GSA)** | | | | | | | | | | | | | | | | ✓ | | | | | | |
| **Health and Human Services (HHS)** | | | ✓ | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | | ✓ | | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Center for Disease Control (CDC) | | | ✓ | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | ✓ | | | | ✓ | ✓ | | ✓ | ✓ | | | |
| National Institutes of Health | | | ✓ | ✓ | | | | | | | | | | | | | | | ✓ | | | ✓ |
| Public Health Service | | | | | | | | | | ✓ | | | | | | | | ✓ | ✓ | ✓ | ✓ | |
| **Social Security Administration** | | ✓ | | | | | | | | | | | | ✓ | ✓ | | | | | | | |
| **Housing and Urban Development (HUD)** | | | | | ✓ | | ✓ | | | | | | | | | | | | | | | |
| Interagency Council on the Homeless | | | | | | | | | | | ✓ | | | | | | | | | | | |

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## Figure 10: Summary of Across-Agency Coordination, Continued

| *Agency* | *Objective* | | | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1.1 | 1.2 | 1.3 | 1.4 | 1.5 | 1.6 | 1.7 | 2.1 | 2.2 | 2.3 | 2.4 | 3.1 | 3.2 | 3.3 | 3.4 | 4.1 | 4.2 | 4.3 | 4.4 | 4.5 | 4.6 | 4.7 |
| **Interior** | ✓ | ✓ | | ✓ | | | | | ✓ | | ✓ | ✓ | | | | | | | | | | |
| Bureau of Indian Affairs | ✓ | ✓ | | ✓ | | | | | ✓ | | ✓ | ✓ | | | | | | | | | | |
| **Justice (DOJ)** | | | ✓ | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | ✓ | | | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | | |
| Immigration and Naturalization Service | | | ✓ | ✓ | ✓ | ✓ | | | | | ✓ | | | ✓ | ✓ | ✓ | | | | | | |
| Office of Juvenile Justice & Delinquency | | | | ✓ | ✓ | | | ✓ | ✓ | ✓ | | ✓ | | | | ✓ | | ✓ | ✓ | | | |
| Office for Civil Rights | | | | | | | | | | | ✓ | | | | | | | | | | | |
| **Labor (DOL)** | | ✓ | | ✓ | | | ✓ | | | | | | | ✓ | ✓ | ✓ | | | | | | |
| **Department of State** | | | | ✓ | | | | | | | | | ✓ | | | ✓ | | | | | | |
| **Transportation** | | ✓ | | | | | | | | ✓ | | | | | | ✓ | | | | | | |
| **Treasury** | | | | | | | | | | | ✓ | | ✓ | ✓ | ✓ | | | | | | ✓ | ✓ |
| Internal Revenue Service | | | | | | | | | | | ✓ | | | | | | | | | | | |
| Additional Agencies and Organizations | | | | | | | | | | | | | | | | | | | | | | |
| **Environmental Protection Agency** | | | | | | | | | | | | | | | | | | | | | | |
| **Federal Communications Commission** | | | | | | | ✓ | | | | | | | | | | | | | | | |
| **Federal Interagency Coordinating Council** | | | | ✓ | ✓ | | | ✓ | | | ✓ | | | | | ✓ | ✓ | ✓ | | | | |
| **National Academy of Sciences** | | | | | | | | ✓ | ✓ | ✓ | | | | | | | | | | | | |
| **National Aeronautical and Space Administration** | | | | ✓ | | | | | | ✓ | | | | | | | | | | | | |
| **National Endowment for the Arts** | ✓ | | | | | | | | | | ✓ | | ✓ | | | | | | | | | |
| **National Science Foundation** | ✓ | | | ✓ | | | ✓ | ✓ | | ✓ | ✓ | ✓ | | ✓ | | | | ✓ | | | | |
| **National Staff Development Council** | | | | | | | | | | | | | | | | | | | | | | |
| **Office of Personnel Management** | | | | | | | | | | | | | | | | | | | | ✓ | | ✓ |

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# Program Evaluation in the GPRA Environment

GPRA seeks to promote a focus on program results by requiring agencies to set program and agency performance goals and report annually on their progress in achieving these goals. GPRA recognizes the complementary nature of program evaluation and performance measurement. Both are important components of an effective performance measurement system.

## Pre-GPRA

Before the enactment of GPRA, our agency was conducting numerous program evaluation studies. For example, Congress had mandated comprehensive National assessments of both the Title I and Chapter 1 programs. When we began to develop performance plans under GPRA, we included these activities as part of our strategy for capturing performance data.

## Post-GPRA

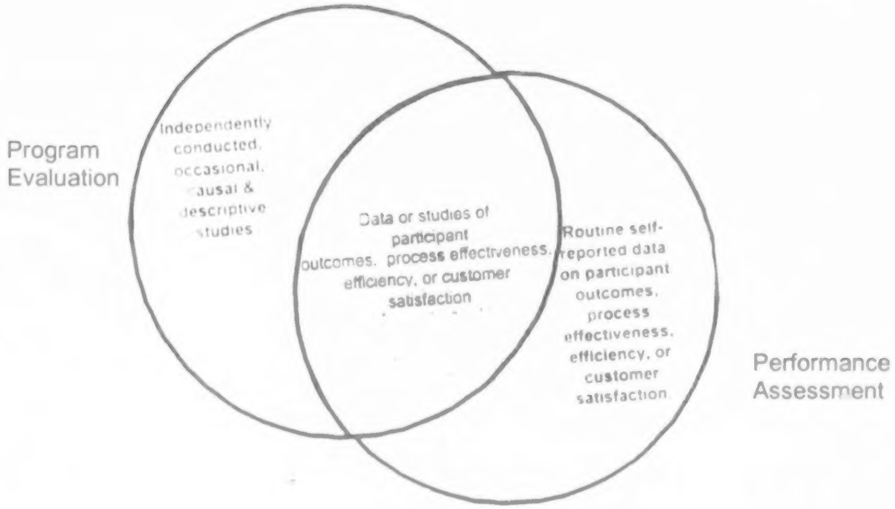
Now, to meet the increase in demand for program results, we try to maximize the use of our resources to identify and use information about program operations and program results so that we can focus on program measurement and program improvement. We are using existing information systems at the state and local levels to yield data on program results, and we have begun to develop partnerships between our evaluation office and our program offices to integrate the varied forms of performance information for decision makers.

Evaluations are systematic analytical efforts that are planned and conducted in response to specific management questions about performance of programs or activities. Unlike performance monitoring, which is ongoing, evaluations are intermittent and conducted when needed. Evaluations often focus on why results are or are not being achieved, or they may address issues such as relevance, effectiveness, efficiency, impact, or sustainability. Often, evaluations provide management with lessons and recommendations for adjustments in program strategies or activities.

Performance monitoring systems track and alert management whether actual results are being achieved as planned. They are built around a hierarchy of objectives linking activities and resources to intermediate results and strategic objectives. For each objective, one or more indicators are selected to measure performance against explicit targets (planned results to be achieved by specific dates). Performance monitoring is an ongoing, routine effort requiring data gathering, analysis, and reporting on results at periodic intervals.

A pictorial representation of the relationship between evaluation and performance measurement, in which each activity has its unique characteristics but they overlap to produce a complete range of information needed by program managers, appears as Figure 1.

Figure 1


Program Evaluation
Independently conducted, occasional, causal & descriptive studies
Data or studies of participant outcomes, process effectiveness, efficiency, or customer satisfaction
Routine self-reported data on participant outcomes, process effectiveness, efficiency, or customer satisfaction
Performance Assessment

While performance monitoring and evaluation are distinct functions, they can be highly complementary if they are appropriately coordinated with each other. Evaluations should be closely linked or integrated with performance monitoring systems. Performance monitoring will often trigger or flag the need for an evaluation especially when there are unexpected gaps between actual and planned results that need explanation.

ED needs to know not only what results were achieved (via the assessment system) but also how and why they were achieved, and what actions to take to improve performance further (via evaluation). Thus, evaluation makes unique contributions to explaining performance and understanding what can be done to make further improvements. Evaluation is an important, complementary tool for improving program management.

Evaluations serve five major roles in the GPRA environment:

1. **Evaluations provide information beyond performance measures.** Data obtained for reporting progress or performance may leave information gaps that evaluations can answer. Questions of causal relationships and certain types of programmatic effects cannot be answered with annual performance data.

2. **Evaluations validate performance data and refine performance indicators**. Performance data are drawn from many sources and do not exhibit the same degree of statistical reliability that evaluations offer. An evaluation can validate, or serve as a benchmark, for performance data as well as serving to refine indicators.

3. **Evaluations address strategic, not programmatic, goals**. Performance measures can address program goals, but they cannot always address strategic goals. Evaluations can focus on strategic goals and, sometimes by incorporating performance data from several programs that address a common goal, they can offer more complex inferences and understanding by being able to address a breadth of programmatic experience. Program evaluations also serve as valuable supplements to program performance reporting by addressing policy questions that extend

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beyond or across program borders, such as the comparative advantage of one policy alternative over another.

4. **Evaluations guide program improvement**. Performance data provide useful and valuable information to program managers to improve program administration. Evaluations, frequently taking a broader and/or more in-depth approach to program structure and results, yield information that can lead to program improvement strategies and might address statutory, regulatory, or administrative changes based on methodologically sound grounds.

5. **Evaluations are long term**. Evaluations can explore hypothesis and present information beyond the experience of individual education programs. Some evaluations are designed to present information to aid Congress in the reauthorization of education laws. Evaluations are frequently used to advise departmental management and have implications for budget decisions. Evaluations are not as focused on real-time data as performance measures are, but there are opportunities for increasing congruence between evaluation and performance measurement.

## Evaluation Directions for ED in the GPRA Environment

To fulfill our requirements to evaluate the effectiveness, quality of implementation of programs, and program results, we are continually analyzing our evaluation procedures to provide policy-relevant information in an effective, efficient, and cost-effective manner. In last year's Performance Report to the Congress, we reported on the revamped evaluation strategy that ED was undertaking. The reinvention of our evaluation processes continues, and we have refined our evaluation goals and principles for the coming year.

The following evaluation principles describe our evaluation goals that will produce credible and policy-relevant information for educational decision makers and the Congress:

### Support Performance Measurement

- **Apply the GPRA requirements to reinforce development of performance measures to assess program outcomes and implementation quality on a regular basis.** GPRA explicitly reinforces our use of program evaluations to obtain objective measures of program results. Evaluations serve to check on program or other performance data and to provide causal explanations for observed performance not obtainable through performance measurement systems.

- **Continue to use multiple measures to assess and validate the consistency of evaluation results.** Confidence in evaluation results is greatly enhanced when corroborated across multiple studies rather than a single study. ED's large Title I study was particularly effective in applying a multiple-study design to assess and corroborate student outcomes from different information sources, including National assessments, individual state assessments, and urban district assessment results.

- **Develop and use performance benchmarks as a way to provide common evaluation metrics across diverse state and local systems.** In some areas, our studies have provided rich, generalizeable information, such as in the examination of the targeting and use of Federal resources. However, our studies sometimes lacked performance benchmarks against which to judge the quality of implementation in program activities. An explicit set of performance benchmarks is sometimes needed to judge the quality of program practices and results. When evaluations have these quality benchmarks, they focus information collection. When benchmarks do not exist, evaluations need to launch developmental work to specify them.

### Improve Measurement and Methodology

- **Collect rigorous, evidence-based data rather than relying on self-reports.** Many of our surveys of education professionals provided descriptive information on numerous important questions, such as hours of professional development or numbers and roles of teacher aides. While relying on school staff judgments about implementation of content and performance standards or the alignment of instruction with assessments is valuable, the responses are likely to lack the objectivity necessary for data reporting. For example, while we may have trend data on principals familiar with and indicating alignment of their instruction with standards, socially desirable responses may always result in inflated percentages reporting familiarity and alignment. Evidenced-based responses that reflect in-depth observational information and the use of more sophisticated questionnaires for obtaining factually based information are required. For example, teacher-time-use estimates have been shown to be reasonably reliable measures of teachers' actual time use.

- **Make greater use of causal methodologies, especially to evaluate instructional practices.** The primary causal evaluation model we have supported is the large-scale longitudinal study of schools. With independently administered assessments and in-depth information on the effects of program interventions, these studies have substantial potential to provide information on what works in the school or classroom. Other school-level information collected in the past was, for the most part, descriptive information of current practices. Descriptive information is valuable, but it is not sufficient to add to the knowledge base about the effectiveness of particular instructional or other practices for at-risk populations. Future evaluations need to place more emphasis on causal evaluations of an experimental or longitudinal nature of specific interventions.

### Use Technology to Improve our Response Time

- **Take advantage of the availability of information from other evaluations of systemic reform and general-purpose data sources, in addition to ED evaluations.** States produce regular student assessments that provide massive amounts of information to evaluate Title I and other Federal programs. Statistical agencies collect general benchmarks against which to measure Title I outcomes and implementation. Foundations support systemic reform and educational innovation activities. Research on systemic reform and related interventions can reinforce evaluations on effective practices. Evaluations should develop information banks and other knowledge-management strategies for these different information sources.

- **Collect data electronically to provide real-time information.** New electronic methods provide opportunities to speed up data collection and increase accuracy. States already have considerable information on Web sites that could be harvested far earlier than when formally collected through state performance reports. ED is piloting with two states an Integrated Performance Based System to electronically harvest state and local education data for Federal analysis and use.

- **Develop a management information system to integrate evaluations, program monitoring data, and general-purpose data collections from across the Department.** Many of our data collections operate independently and fail to build on one another. We are developing a mechanism for integrating information from these multiple sources, which will strengthen the abilities of program offices to provide technical assistance to states and districts.

**Improve Capacity Building**

- **Reinforce training, capacity building, and the introduction of systemic evaluation and assessment procedures throughout ED to make GPRA an essential component for all program plans.** Not all ED staff have the awareness that GPRA is a long-term commitment that affects everything we do. Not all offices have grasped the implications of having concrete performance goals and targets, being accountable for these goals and targets, and reporting annually. Programs face a steep learning curve and knowledge gaps; our training activities for fiscal year 2000 and beyond will meet this need.

- **Use Federal evaluations to feed information back, and provide evaluation tools to improve evaluation capacity and use at state, local and national levels.** Evaluations can become more powerful change agents if they can build the capacity of different levels of program operations—state, local, school, and Federal—to provide the information each level needs to continuously reflect and improve results. Building capacity for feedback and reflection would strongly reinforce continuous improvement provisions underlying ED programs.

These principles reflect ED's continued focus on improving evaluation strategies, undertaken in concert with GPRA, to obtain and make credible, reliable, and timely information available to decision makers.

# Appendixes

# Data Quality (DQ) Standards

These standards are intended to assist ED managers as they collect, analyze, and report data about Federal education programs. Although no single document can anticipate the entire range of data uses, we designed these standards to have broad applicability.

Program managers can use the standards as a tool when monitoring grantees and evaluating the quality of the reported data and preparing submissions for the GPRA annual report.

To fully evaluate the quality of program data, data managers must ask themselves:

- Have I selected the appropriate measures? (Standard 1: Validity)
- Am I collecting sound data on those measures? (Standards 2 through 5: Accurate Description, Editing, Calculation, and Timeliness)
- Am I reporting the measures accurately? (Standard 6: Reporting)

These standards are an attempt to provide criteria against which to evaluate these aspects of program DQ. Not every example or item on the checklist is relevant to every indicator, or appropriate for every program.

### Relationship to the ED Strategic Plan

To ensure that program indicator performance data are of the highest quality, and to assist program managers in reaching toward this quality, the ED has included in its *Strategic Plan for 1998-2002* (September 30, 1997) a performance indicator on DQ:

> **Performance Indicator 30. "By 2000, all ED program managers will assert that the data used for their program's performance measurement are reliable and valid or will have plans for improvement."**

This idea is further developed in ED's Annual Plans. The *Fiscal Year 2000 Annual Plan* describes a five-part improvement strategy to ensure the quality of performance indicator information. The five parts are as follows:

- *Develop Department-wide standards for performance indicator measurement.* These standards have been developed as part of this strategy.
- *Programs systematically review the quality of their data collection systems.* Program managers use these standards to review performance indicators for their program.
- *Training of ED program data managers in the application of data standards for performance measurement.* Department-wide training on DQ standards for program data managers includes identification of the limitations of key performance indicators and development of concrete plans for their improvement.
- *Monitor DQ.* Program managers, division directors, and assistant secretaries examine the GPRA indicators and data for their programs to determine their accuracy and validity, and to develop plans for their improvement. In

addition, the Office of Inspector General (OIG) independently monitors the reliability of its data quality (DQ) in high-priority areas.

- *Managers attest to the reliability and validity of their performance measures or submit plans for data improvement.* Based on the information and improvement plans provided by the program managers and division directors, assistant secretaries will assert that they are aware of any DQ limitations and concur with the recommendations and plans for improvement.

## Relationship to Legislative Requirements for DQ

Some programs have specific criteria specified in the legislation for judging the quality of the performance indicators and other data provided by the program. For example, the Perkins Vocational and Applied Technology Act requires that data be "reliable, complete, and accurate." Other programs' data are expected to be "reliable and valid." These standards are an attempt by the ED to develop a single set of DQ standards for all programs and to be concrete about what constitutes high-quality data in words understandable to nonstatisticians.

## How this Document Is Structured

The document consists of six standards for judging program performance DQ: validity, accurate description, editing, calculation, timeliness, and reporting. Associated with each standard are definitions, examples, and possible checks for application of that standard.

The DQ checklist for each standard consists of a series of questions that both primary data providers and secondary data managers should ask themselves as they evaluate the quality of the data. A primary data provider is a person or organization who carries out all or part of the study design, data collection, data processing, and initial reporting. A secondary data manager is someone who sponsors or requests a primary data collection or who uses data from the reports for other purposes. Not every item on the DQ checklist might be appropriate for every study; however, each represents a step that can be taken to ensure the quality of program data.

Some standards require a distinction between *sample* and *universe* data. Universe data are data collected from every unit in the population. For example, universe data for school districts include responses from *every* school district in the nation. By comparison, representative sample data are collected from only a fraction of the population. But this fraction is chosen in such a way that it describes *all* school districts. The distinction between sample and universe data is important. Sample data have measures associated with them related to their sampling variability (e.g., confidence intervals) typically not associated with universe data.

# Standard One: Validity—

## Data adequately represent performance.

| DEFINITION | Examples Meeting the Standard and Failing to Meet the Standard |
|---|---|
| • The performance indicators actually measure the goal or objective of interest.<br>• The data "match" the performance indicator because they measure the same phenomenon.<br>• The indicators and data are a useful guide to policy decision making. | ***Meeting:***<br>• The performance objective, indicator, and data all describe the same phenomenon.<br>• The performance objective, indicator, and data all focus on the phenomenon of interest.<br>***Failing:***<br>• The program objective does not have a realistic, measurable performance indicator.<br>• The data used to measure the performance indicator actually measure a somewhat different phenomenon.<br>• The indicators provide data about aspects of the program that are unrelated to policy questions. |

### Validity Data Quality (DQ) Checklist

*(Most important checks are in italics)*

**For Primary Data Providers**

☐ Is the way in which the data are being used to measure performance on the indicator appropriate given what you know about how they were collected?

**For Secondary Data Managers**

☐ Do the indicators cover aspects of the program that are useful and important for policy decision making?
☐ *Have the objective, performance indicator, and data been scrutinized to be sure that they all describe the phenomenon of interest?*
☐ *Is a realistic plan in place to collect data on all performance measures?*
☐ If the available data do not appropriately match the indicator or objective, is the mismatch clearly stated in reporting, and are plans under way to properly align them?

# Standard Two: Accurate Description—

## Definitions and counts are correct.

| DEFINITION | Examples Meeting the Standard and Failing to Meet the Standard |
|---|---|
| **Generally for All Data**<br>• All data providers use the same agreed-upon definitions.<br>• The phenomena being measured occurred or existed at the time for which they were reported. | **Generally for All Data**<br>***Meeting***<br>• Key terms are clearly defined and definitions followed by data providers.<br>• Data are provided for the correct time period.<br>• Counted program recipients actually received services.<br>***Failing***<br>• Each data provider uses different definitions of key terms.<br>• Certain types of phenomena (e.g., private schools, disabled students) are overlooked or not consistently included in counts. |
| **Specifically for Universe Data**<br>• All data providers use the same agreed-upon definition.<br>• All instances of a phenomenon are counted, and no instances are omitted. | **Specifically for Universe Data**<br>***Failing:***<br>• Phenomena are double counted or undercounted.<br>• Estimates are provided instead of actual counts. |
| **Specifically for Sample Data**<br>• Population from which the sample is drawn is clearly defined.<br>• Samples are taken at the appropriate unit of analysis.<br>• Samples are of sufficient size to enable generalizations to the population to be made. | **Specifically for Sample Data**<br>***Meeting***<br>• Data are provided for the correct time period.<br>• Those who are sampled are actually members of the population being studied.<br>***Failing***<br>• Certain types of phenomena (e.g., private schools, disabled students) are not reported in proper proportion to their occurrence in the population. |

## Accurate Description DQ Checklist

*(Most important checks are in italics)*

### Generally for All Data

***For Primary Data Providers***

- ☐ Have definitions and time periods been followed or discrepancies clearly documented?

***For Secondary Data Managers***

- ☐ *Have clear written definitions of key terms (including exclusions/inclusions) been communicated to data providers?*
- ☐ *Do reporting forms provide spaces for data providers to report deviations from definitions and uses of estimation at the time they provide the data?*
- ☐ Have you invited feedback from data providers about data collection issues and possible problems?
- ☐ Have data been compared with other databases reporting similar statistics?
- ☐ Have entities for which counts have changed more than 10 percent since the previous report been double-checked?

### Specifically for Universe Data

***For Primary Data Providers***

- ☐ Have estimates been used for no more than 10 percent of the phenomena counted, and are estimates clearly differentiated from actual counts?
- ☐ Have counts been tallied at least twice, and do totals agree?

***For Secondary Data Managers***

- ☐ Have respondents been involved in setting definitions for key terms?
- ☐ Have definitions been communicated in sufficient time for data providers to prepare their system to properly implement them?
- ☐ Are independent undercount and overcount checks in place for counts associated with major program funding?

### Specifically for Sample Data

***For Primary Data Providers***

- ☐ Has sample been drawn from the most up-to-date population lists available?
- ☐ Have weights been properly applied?

***For Secondary Data Managers***

- ☐ Are data reported with weights properly applied?

# Standard Three: Editing—

## Data are clean.

| DEFINITION | Examples Meeting the Standard and Failing to Meet the Standard |
|---|---|
| • Data are correct, internally consistent, and without mistakes.<br>• Response rates are adequate across items and across responding units. | ***Meeting:***<br>• Data elements are accurately entered from original sources.<br>• Data are internally consistent (e.g., totals, ratios, and products match).<br>***Failing:***<br>• Entries are out of range.<br>• The total of the percentages does not sum to 100 percent. |

### Editing Data Quality (DQ) Checklist

*(Most important checks are in italics)*

**For Primary Data Providers**

☐ Have the data, after they were entered, been systematically reviewed by a different person who is familiar with the data?
☐ *Has follow-up been done on non-response?*
☐ Has an electronic edit checking program been used to clean the data?
☐ Have data errors been traced back to their original source and mistakes corrected?

**For Secondary Data Managers**

☐ Have you "eyeballed" the data to see if they are reasonable given what you know about earlier years and other respondents?
☐ *Have you discussed large changes or unusual findings with the primary data providers to see if they might be due to editing errors?*

# Standard Four: Calculation—

## The math is right.

| DEFINITION | Examples Meeting the Standard and Failing to Meet the Standard |
|---|---|
| **For All Data**<br>• Measured amounts (e.g., numbers, percentages, and ratios) are accurately computed using the right numbers and formulas. | **Specifically for Universe Data**<br>***Meeting:***<br>• Rounding is done correctly.<br>• Percentages sum to 100.<br>• The denominator used accurately reflects the population of interest.<br>• Missing data are distinguished from true zeros.<br>***Failing:***<br>• The increase from 3 percent to 13 percent is reported as a "10 percent increase" rather than an increase of 10 percentage points.<br>• Nonresponse and scores of "0" are aggregated.<br>**Specifically for Sample Data**<br>***Meeting:***<br>• Tests of significance are properly chosen and calculated.<br>• Correlations and other statistical formulae are properly applied.<br>***Failing:***<br>• The wrong significance test is used. |

### Calculation Data Quality (DQ) Checklist

*(Most important checks are in italics)*

**For Primary Data Providers**

☐ Has the application of the mathematical formula been double-checked by a colleague?
☐ Have procedures for dealing with missing data been correctly applied?

**For Secondary Data Managers**

☐ For sample data, has the data analysis plan been reviewed by outside experts to ensure that appropriate formulae and procedures are applied?
☐ *Have you "eyeballed" the data to see if they seem reasonable given what you know about earlier years and other respondents.*
☐ Have the "+ or –" confidence intervals been reported for sample data?

# Standard Five: Timeliness—

## Data are recent.

| DEFINITION | Examples Meeting the Standard and Failing to Meet the Standard |
|---|---|
| • Automated electronic processes are used to speed data collection, analysis, and reporting.<br>• Data are reported in time to inform policy action. | ***Meeting:***<br>• Data are collected and reports are forwarded as soon as possible after the close of the data collection period.<br>***Failing:***<br>• Paper records are copied out by hand.<br>• Data from 1997 are used to determine whether or not programs have met their 1999 targets. |

### Timeliness Data Quality (DQ) Checklist

*(Most important checks are in italics)*

**For Primary Data Providers**

☐ *Are data from a time before the policy period of interest?*
☐ Are data reported as soon as possible after collection?
Are the data entered and processed in electronic machine-readable form?

**For Secondary Data Managers**

☐ Are resources being invested in creating a modern automated electronic data system?
☐ *Is a regularized schedule of data collections in place to meet policy information needs?*
☐ Are review processes designed to ensure that findings are made public in a timely fashion?
☐ Are respondents involved in setting time schedules for providing data?
☐ Are time schedules for providing data enforced with clear and frequent reminders?
☐ Is the year of the data collection clearly identified in the report?

# Standard Six: Reporting—

## Full disclosure is made.

| DEFINITION | Examples Meeting the Standard and Failing to Meet the Standard |
|---|---|
| • What was done is clearly explained.<br>• Limitations are clearly stated.<br>• Findings are fairly and impartially summarized.<br>• Graphics/report exhibits are properly documented, including complete legends, scales, sources, and time frames. | ***Meeting:***<br>• Data collection processes are documented.<br>• Limitations of the data are clearly described in the report.<br>***Failing:***<br>• Sources of data and dates of collection are omitted from charts.<br>• "+" or "–" confidence intervals are omitted when describing sample data.<br>• A number is based on a sample when the actual number is known. |

## Reporting Data Quality (DQ) Checklist

*(Most important checks are in italics)*

**For Primary Data Providers:**

☐ Are data collection, cleaning, and analysis procedures documented in writing?
☐ Is each step in the data collection process required to report deviations and problems in DQ?
☐ Are good graphics techniques used (e.g., axes begin at 0)?
☐ *Are DQ problems at each level reported to the next level?*

**For Secondary Data Managers:**

☐ *Are DQ problems clearly described in the final reports?*
☐ Are the data collection method and sample size mentioned at least briefly when findings are presented?
☐ Is the year that the data were collected clearly stated in the report?
☐ Have the types of exclusions and amount of nonresponse been clearly described?
☐ Are DQ problems reported together with the findings?
☐ Has the report of findings been edited by someone with expertise in DQ issues?
☐ Are reports widely announced and effectively disseminated to intended users?
☐ If there have been significant changes in program definitions that might break trend lines, have they been noted?

## Changes from FY 1999 Plan to FY 2001 Plan

This appendix summarizes the reasons for any indicator changes, by objective, over the last two years. The pages that follow summarize changes in indicators:

- From FY 2000 to FY 2001 (from last year to this year)
- From FY 1999 to FY 2000 (from two years ago to last year)

### Changes From FY 2000 to FY 2001

**End Outcomes for Goals 1 and 2**

- The Indicator 0.1.f data on event dropout rates were revised to use a three-year moving average for income groups and racial groups because the annual data for these groups are subject to substantial fluctuations because of small sample sizes. The goals for this indicator were revised from specific figures to "continuous decrease" because there is not a reasonable basis for setting precise targets.
- The goals for Indicator 0.1.g were revised from specific figures to "continuous increase" because there is not a reasonable basis for setting precise targets. This change also makes this indicator consistent with Objective 3.1, which has a goal of "continuous increase."
- The date in Indicator 3 (0.1.c) was revised from 2000 to 1998 to match the data collection year.
- The date in Indicator 5 (0.1.e) was revised from 2000 to 1998 to match the data collection year.

**Objective 1.1**

- Indicator 10 (1.1.c) changed from a focus on parents' awareness of changing academic standards for the children to a focus on teacher preparedness in regard to high academic standards.

**Objective 1.2**

- This year's Objective 1.2 was changed slightly from last year to focus more directly on the Department's expectations for schools in helping all students prepare for college and careers. Adjustments were made in several of the indicators that are now reported. Last year's Indicator 12 was replaced by this year's Indicator 1.2.b to reflect new graduation standards that states have set for students in meeting core content standards in all subject areas, not just math and science as previously reported.
- FY 2000 Indicator 15 was dropped because it was a system output measure rather than a student outcome measure.
- Indicator 1.2.e was added to highlight the Department's efforts to promote and recognize high schools that have adopted education reform strategies that combine career and academic education – often in smaller learning environments – to prepare all students for college and careers.

**Objective 1.3**

- Indicators 20, 21, and 22 were dropped from the plan and have been retained for internal management purposes.
- A new Indicator 1.3.d was created that monitors decreasing levels of disorder in schools.

**Objective 1.4**

- New indicators 1.4.g, 1.4.h, and 1.4.i were added to the FY 2001 plan.

**Objective 1.5**

- Indicator 29 (1.5.a) was broadened to include all students, not just those in elementary school.

**Objective 1.6**

- The target in Indicator 33 (1.6.a) was changed to reflect grades K-12 instead of only 3-12 to be more inclusive.
- The target date in Indicator 34 (1.6.b) was changed from 2001 to 2000 to correct a printing mistake.
- The targets in the figure for Indicator 1.6.c were modified from last year's goals to more accurately reflect state and local trends.

**Objective 1.7**

- Indicators 40 and 42 were dropped from the FY 2001 plan.
- Indicator 39 (1.7.b) was modified to reflect the 2000 target of 100%.
- Indicator 1.7.e is new to the FY 2001 plan.
- Indicator 41 was split into two indicators (1.7.c and 1.7.d), one concerning poverty and one concerning students with disabilities. The reference to assistive technology was deleted as accommodations for students with disabilities are mandated by law.

**Objective 2.1**

- No changes to the FY 2001 plan from the FY 2000 plan.

**Objective 2.2**

- The focus of Indicator 47 (2.2.b) was modified from tutors being employed by colleges and universities to the number of students employed as tutors to better identify how students are helped by this program.
- Indicator 48 (2.2.c) was modified to include students from kindergarten through third grade.

**Objective 2.3**

- The targets in Indicator 50 (2.3.a) were modified from "... at least 60% will score at the international average by 2002" in FY 2000 to "At least 50% will score at the international average by 1999" in the FY 2001 plan.
- The targets in Indicator 52 (2.3.c) were modified to expand the pool of students from a span of kindergarten to eighth grade to a span that included all students in kindergarten to twelfth grade.
- Indicator 53 (2.3.d) was modified to extend to all mathematics teachers, not just those in the 5th through 8th grades.
- Indicator 54 (2.3.e) was modified to extend to information covering math content as well as instruction.

**Objective 2.4**

- Indicator 2.4.b is new to the FY 2001 plan.
- Indicator 56 (2.4.c) was expanded to include all students.
- Indicator 59 (2.4.f) was expanded to include children who are emotionally disadvantaged, homeless, or neglected or delinquent.
- Indicator 60 was dropped from the FY 2001 plan.

**Objective 3.1**

- Indicators 62 (3.1.b) and 63 (3.1.c) were modified to include decreasing differences between low- and high-income families and to better reflect the way information was collected in the new data source used for these indicators.
- Indicator 64 was dropped from the FY 2001 plan because of the inability to collect data for students on an ongoing basis.

**Objective 3.2**

- The focus of Indicator 66 (3.2.b) changed from student loan repayments exceeding 10% of borrowers' income remaining stable or declining over time to only the first year of repayment being less than 10% of borrower's annual earnings.
- A comparison of low- and high-income students was dropped from Indicator 67 (3.2.c) because the data source now being used for this indicator, which is available on an annual basis rather than every eight years as was the prior data source, does not contain information on income.
- Indicator 3.2.d is new in the FY 2001 plan.

**Objective 3.3**

- Indicator 3.3.a has been expanded to include a measure of increase for customer satisfaction.
- Indicator 3.3.b has been expanded to include a measure of reduction for the costs of delivering student aid.
- Indicator 3.3.c has been changed to measure employee satisfaction rather than whether the office of Student Financial Assistance is performance-based.

- Objective 3.4
- The target in Indicator 69 (3.4.a) was increased because it was met.
- The target in Indicator 70 (3.4.b) was increased from 45%-50% to 50% of the total national enrollment because the 1998 data achieved a 49% level.
- The target year in Indicator 72 (3.4.d) was moved up to 2000 from 2002 because it is now realistic to believe that we will meet our goal in the year 2000 instead of 2002.

**Objective 4.1**

- Indicator 73 (4.1.a) was changed to more accurately reflect the data that are collected across the Department's major call centers. While calls received by call centers are a significant factor in measuring "access" to Department information; in addition, the call centers respond to numerous customer inquiries via e-mail and online requests, as well as in-person inquires. Indicator 4.1.a now measures access by accounting for the various ways that customers access Department information. Indicator 4.1.a now also includes the volume of inquires received by the Department's publications ordering center (ED-Pubs) and its technical support centers, which serve postsecondary institutions administering Federal student aid.
- Indicator 74 (4.1.b) was changed to reflect data that the Department currently collects and uses to determine customer satisfaction with its products, services, and information. The indicator now focuses on overall customer satisfaction rather than on separate categories of quality, timeliness, and accessibility. Data in addition to that reported in prior years also are included in this year's report. Customer satisfaction data for the Department's ED-Pubs publication ordering call center are included.
- Indicator 75 (4.1.c) was changed to focus more narrowly on the promptness of service delivery at the Department's major frontline call centers. The change was made to better align the indicator with the overall objective of "fast" and seamless service. Call wait time data for ED-Pubs and the Department's technical support centers for postsecondary institutions administering federal student aid were added.
- Indicator 76 was deleted in its entirely. The indicator was adopted prior to the creation of the ED-Pubs publication ordering call center. Now that the center is in operation, ED-Pubs data are incorporated into the

other three performance indicators for this objective to show departmental progress in customer access, customer satisfaction, and service delivery.

- Indicator 77 (4.1.d) was moved to Objective 4.1 from Objective 4.2.

**Objective 4.2**

- Indicator 4.2.b is new to the FY 2001 plan.
- Indicator 79 (4.2.c) was reworded to shift the focus from grants being awarded on a timely basis to the ability of those grants to give greater support and flexibility to the grant projects.
- Indicators 80 and 81 were combined into one Indicator (4.2.d) and revised. The indicator was revised to more accurately reflect effort and progress by measuring the number of projects instead of the states, as many states are involved in more than one project.

**Objective 4.3**

- Indicators 82 and 84 were combined into Indicator 4.3.b to reflect the criteria of usefulness and relevance.

**Objective 4.4**

- Indicators in section 4.4 were reordered.
- The target of "at least 90% of all employees" in Indicator 86 (4.4.b) was dropped from the FY 2001 plan.

**Objective 4.5**

- In Indicator 89 (4.5.a), the focus and targets were changed from 75% of Department managers to 70% of survey respondents.
- Indicators 93 (4.6.b) and 94 (4.6.a) were reordered.

**Objective 4.6**

- Indicator 92 was dropped.

**Objective 4.7**

- Indicator 95 was dropped because, beginning in 1999, the achievement of indicators is now reported separately for each of the objectives.

## Changes from FY 1999 Plan to FY 2000 Plan

**End Outcomes for Goals 1 and 2**

- This was a new section for FY 2000.
- Indicators 2-7 were new.

**Objective 1.1**

- The first indicator of this objective in the FY 1999 plan became FY 2000 End Outcomes Indicator 1.
- Indicator 9 was new to the FY 2000 plan.

**Objective 1.2**

- Indicators 12-15 were new to the FY 2000 plan.
- The second indicator of FY 1999 Objective 1.2 (FY 2000 #16) was modified from measuring the number of employers engaging in School-to-Work activities to measuring the number of employers offering School-to-Work work-based learning opportunities.

**Objective 1.3**

- Indicators 18, 21, and 22 were new to the FY 2000 plan.

**Objective 1.4**

- The second indicator of FY 1999's Objective 1.4 was dropped from the FY 2000 plan.
- Indicators 23, 24, 26, 27, and 28 were new in the FY 2000 plan.

**Objective 1.5**

- The target of achieving 90% of parents by 2002 in the second indicator of FY 1999 Objective 1.5 was dropped.
- Indicators 29 and 31 were new to the FY 2000 plan.

**Objective 1.6**

- The target date in the first indicator of FY 1999 Objective 1.6 was extended from 2002 to 2003 in the FY 2000 plan.
- The target date in the second indicator of FY 1999 Objective 1.6 was moved up from 2002 to 2000 in the FY 2000 plan.
- Indicators 34 and 36 were new to the FY 2000 plan.

**Objective 1.7**

- The targets in the second indicator of FY 1999 Objective 1.7 were increased in order to keep up to date.
- Indicators 37, 40, 41, and 42 were new to the FY 2000 plan.

**Objective 2.1**

- Indicator 43 was new to the FY 2000 plan.

**Objective 2.2**

- The second indicator of FY 1999 Objective 2.2 was dropped from the FY 2000 plan.
- Indicators 47, 48, and 49 were new to the FY 2000 plan.

**Objective 2.3**

- The target in the first indicator of FY 1999 Objective 2.3 was changed from 60% in 2002 in the FY 1999 report to 50% in 1999 for the FY2001 plan.
- Indicators 51, 52, and 54 were new to the FY 2000 plan.

**Objective 2.4**

- Indicators 56, 57, 58, and 59 were new to the FY 2000 plan.

**Objective 3.1**

- Indicators 62 and 63 were new to the FY 2000 plan.

**Objective 3.2**

- Indicators 65 and 68 were new to the FY 2000 plan.

**Objective 3.3**

- Neither indicator was used in the FY 2000 plan.

**Objective 3.4**

- In the first indicator of FY 1999 Objective 3.4, the goal was achieved and the target in the indicator was changed to reflect this success.
- Indicators 71 and 72 were new to the FY 2000 plan.

**Objective 4.1**

- Indicators 73 and 76 were new to the FY 2000 plan.

**Objective 4.2**

- In the first indicator of FY 99 Objective 4.2, the target was changed from "…from 10 to 25" to "…to meet the needs of our partners" in order to be more flexible to changing needs of the states.
- Indicators 79 and 80 were new to the FY 2000 plan.

**Objective 4.3**

- The only indicator in the FY 1999 plan Objective 4.3 was dropped.
- Indicators 82, 83, and 84 were new to the FY 2000 plan.

**Objective 4.4**

- Indicators 86 and 87 were new to the FY 2000 plan.

**Objective 4.5**

- Indicator 90 was new to the FY 2000 plan.

**Objective 4.6**

- No changes from the FY 1999 to the FY 2000 plan.

**Objective 4.7**

- Indicators 95, 96, and 98 were new to the FY 2000 plan.

## Numbering System Changes from Fiscal Year 2000 to Fiscal Year 2001

| **Fiscal year 2001 Indicator number** | 0.1.a | 0.1.b | 0.1.c | 0.1.d | 0.1.e | 0.1.f | 0.1.g | 1.1.a | 1.1.b | 1.1.c |
|---|---|---|---|---|---|---|---|---|---|---|
| Fiscal year 2000 indicator number | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |
| | | | | | | | | | | |
| **Fiscal year 2001 indicator number** | 1.2.a | *** | 1.2.c | 1.2.d | *** | 1.2.f | 1.3.a | 1.3.b | 1.3.c | *** |
| Fiscal year 2000 indicator number | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 |
| | | | | | | | | | | |
| **Fiscal year 2001 indicator number** | *** | *** | 1.4.a | 1.4.b | 1.4.c | 1.4.d | 1.4.e | 1.4.f | 1.5.a | 1.5.b |
| **Fiscal year 2000 indicator number** | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 |
| | | | | | | | | | | |
| **Fiscal year 2001 indicator number** | 1.5.c | 1.5.d | 1.6.a | 1.6.b | 1.6.c | *** | 1.7.f | 1.7.a | 1.7.b | *** |
| Fiscal year 2000 indicator number | 31 | 32 | 33 | 34 | 35 | 36 | 37 | 38 | 39 | 40 |
| | | | | | | | | | | |
| **Fiscal year 2001 indicator number** | 1.7.c<br>1.7.d | *** | 2.1.a | 2.1.b | 2.1.c | 2.2.a | 2.2.b | 2.2.c | 2.2.d | 2.3.a |
| Fiscal year 2000 indicator number | 41 | 42 | 43 | 44 | 45 | 46 | 47 | 48 | 49 | 50 |
| **Fiscal year 2001 indicator number** | 2.3.b | 2.3.c | 2.3.d | 2.3.e | 2.4.a | 2.4.c | 2.4.d | 2.4.e | 2.4.f | *** |
| Fiscal year 2000 indicator number | 51 | 52 | 53 | 54 | 55 | 56 | 57 | 58 | 59 | 60 |
| | | | | | | | | | | |
| **Fiscal year 2001 indicator number** | 3.1.a | 3.1.b | 3.1.c | *** | 3.2.a | 3.2.b | 3.2.c | 3.2.e | 3.4.a | 3.4.b |
| Fiscal year 2000 indicator number | 61 | 62 | 63 | 64 | 65 | 66 | 67 | 68 | 69 | 70 |

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| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| **Fiscal year 2001 indicator number** | 3.4.c | 3.4.d | 4.1.a | 4.1.b | 4.1.c | *** | 4.1.d | 4.2.a | 4.2.c | 4.2.d |
| **Fiscal year 2000 indicator number** | 71 | 72 | 73 | 74 | 75 | 76 | 77 | 78 | 79 | 80 |
| | | | | | | | | | | |
| **Fiscal year 2001 indicator number** | 4.2.d | 4.3.b | 4.3.a | 4.3.b | 4.4.d | 4.4.b | 4.4.a | 4.4.c | 4.5.a | 4.5.b |
| **Fiscal year 2000 indicator number** | 81 | 82 | 83 | 84 | 85 | 86 | 87 | 88 | 89 | 90 |
| | | | | | | | | | | |
| **Fiscal year 2001 indicator number** | 4.5.c | *** | 4.6.b | 4.6.a | *** | 4.7.a | 4.7.b | 4.7.c | | |
| **Fiscal year 2000 indicator number** | 91 | 92 | 93 | 94 | 95 | 96 | 97 | 98 | | |

*** This indicator was not presented in the fiscal year 2001 Annual Plan.

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## Funding and Staffing by Objective

The following table shows how funds requested for fiscal year 2001 are distributed across the strategic objectives. It also provides a similar distribution for salaries, expenses, and staffing. This analysis was produced by distributing each program's funds and staff across those objectives toward which their work contributes.

Tracking the amount of program funding that was spent on each of the Department of Education's GPRA objectives provides an overview of how Federal education resources are distributed across objectives. Linking this data with information on salaries, expenses, and overall staffing provides an overview of the total resources expended on each objective.

## Distribution of Fiscal Year 2000 Funding and Staffing by Objective

| | Program $ (in millions) | S&E $ (in thousands) | Staffing (FTE) |
|---|---|---|---|
| **Total—unduplicated** | ***$42,947.3*** | **$1,108.1** | **4,749** |
| **Goal 1: Help all students reach standards** | ***$10,999.1*** | **$39.6** | **339** |
| *Objective 1.1. States develop and implement standard.* | *$608.1* | *$14.6* | *117* |
| *Objective 1.2. School to work* | *$1,818.3* | *$3.2* | *29* |
| *Objective 1.3. Strong, safe, drug-free schools* | *$2,770.0* | *$9.5* | *94* |
| *Objective 1.4. Talented and dedicated teachers* | *$2,777.7* | *$2.4* | *22* |
| *Objective 1.5. Families and communities* | *$1,907.0* | *$3.7* | *15* |
| *Objective 1.6. Public school choice* | *$305.0* | *$3.3* | *33* |
| *Objective 1.7. Education technology* | *$813.3* | *$2.9* | *29* |
| **Goal 2: Build a solid foundation for all children** | **$14,657.2** | **$34.7** | **333** |
| *Objective 2.1. All children ready to learn* | *$1,863.0* | *$6.2* | *62* |
| *Objective 2.2. All children able to read by 3rd grade* | *$6,998.3* | *$7.2* | *70* |
| *Objective 2.3. All 8th graders master math* | *$3,075.0* | *$5.0* | *50* |
| *Objective 2.4. Special populations help* | *$2,720.9* | *$16.3* | *151* |
| **Goal 3: Postsecondary education and lifelong learning** | **$16,829.5** | **$755.3** | **1,981** |
| *Objective 3.1. Secondary students—information & support* | *$1,074.2* | *$4.9* | *49* |
| *Objective 3.2. Postsecondary students—financial aid & support* | *$12,425.5* | *$151.5* | *1,502* |
| *Objective 3.3. Postsecondary aid system* | *$0* | *$570.9* | *204* |
| *Objective 3.4. Lifelong learning* | *$3,329.8* | *$28.0* | *226* |
| **Goal 4: Make ED a high-performance organization** | **$385.5** | **$278.5** | **1,372** |
| *Objective 4.1. Customer service* | | *$29.6* | *202* |
| *Objective 4.2. Support for ED partners* | *$38.0* | *$9.3* | *90* |
| *Objective 4.3. Research and development* | *$347.5* | *$48.6* | *460* |
| *Objective 4.4. Information technology* | | *$42.7* | *103* |
| *Objective 4.5. ED workforce/operational support* | | *$89.8* | *172* |
| *Objective 4.6. Financial integrity* | | *$52.6* | *314* |
| *Objective 4.7. Performance management* | | *$5.9* | *31* |
| **Civil Rights** | **76.0** | | **724** |

**Source**: Internal Department of Education calculation provided by Budget Services.
**Frequency**: Annual
**Next update**: 2000
**Validation:** Internal review
**Data Limitations**: Based on best estimates. Computational changes from last year's report in the ED's 2000 Annual GPRA Plan include

1) Thirteen new programs added in 2001.
2) These data are unduplicated counts. Data reported in 2000 were duplicated for Objectives 1.4 and 2.4.
3) Civil Rights—this table includes data on civil rights because "ensuring equal access to education" is part of the stated mission of the Department. Ensuring that students have equal access cuts across objectives, making it difficult to distinguish between funds in support of a specific goal and then to further differentiate and break out funds directly supporting equal access. Funding for Objective 2.4, "Special Populations," was reported as a total dollar amount within Objective 2.4 in fiscal year 2001, while it was distributed across objectives in fiscal year 2000. We have added the category "Civil Rights," which represents the funding and related staffing for the Office for Civil Rights, to provide a better approximation of the funds related to providing equal access in education.

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## Relationship of Program Goals to Strategic Plan Goals and Objectives

| Programs | | FY 2001 Requested | Objective | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | (in thousands) | 1.1 | 1.2 | 1.3 | 1.4 | 1.5 | 1.6 | 1.7 | 2.1 | 2.2 | 2.3 | 2.4 | 3.1 | 3.2 | 3.3 | 3.4 | 4.1 | 4.2 | 4.3 |
| Education Reform | | | | | | | | | | | | | | | | | | | | |
| 1 | 21st Century Community Learning Centers (ESEA X-I) | $1,000,000 | | | x | | x | | | | x | x | x | | | | | | | |
| 2 | Small, Safe And Successful High Schools (ESEA X-A, Section 10105) | 120,000 | | | | | | | | | | | | | | | | | | |
| Education Technology | | | | | | | | | | | | | | | | | | | | |
| 3 | Technology Literacy Challenge Fund (Section 3132) | 450,000 | | | | | | | x | | | | | | | | | | | |
| 4 | Next Generation Technology Innovation (Proposed Legislation) | 170,000 | | | | | | | x | | | | | | | | | | | |
| 5 | Regional Technology In Education Consortia (Section 3141) | 10,000 | x | | | x | x | | x | | | | x | | | | x | | | x |
| 6 | Ready-To-Learn Television | 16,000 | | | | | x | | | x | x | | | | | | | | | |
| 7 | Technology Leadership Activities (Section 3122) | 2,000 | | | | | | | x | | | | | | | | | | | |
| 8 | Telecommunications Demonstration Project For Mathematics Development (Proposed Legislation) | 5,000 | | | | | | | x | | | x | | | | | | | | |
| 9 | Community Technology Centers (Section 3122) | 100,000 | | | | | | | x | | | | | | | | | | | |
| 10 | Preparing Tomorrow's Teachers To Use Technology (Section 3122) | 150,000 | | | | x | | | x | | | | | | | | | | | |
| 11 | Recognition and Rewards | 50,000 | | | | | | | | | | | | | | | | | | |
| 12 | Goals 2000 Parental Assistance | 33,000 | x | | | x | x | | | | | | | | | | | | x | |
| Education for the Disadvantaged | | | | | | | | | | | | | | | | | | | | |
| 13 | Title I Grants To Local Educational Agencies (ESEA I-A) | 8,357,500 | x | | | x | x | | x | x | x | x | x | | | | | | | |
| 14 | Even Start (ESEA I-B) | 150,000 | | | | | x | | | x | x | | x | | | | x | | | |
| 15 | Migrant (ESEA I-C) | 380,000 | | | | | x | | | | | | x | | | | | | | |
| 16 | Programs For Children And Youth Who Are Neglected And Delinquent (ESEA I-D) | 42,000 | | | | | | | | | | | x | | | | | | | |
| 17 | Demonstrations of Comprehensive School Reform | 240,000 | x | | x | x | x | | | | x | x | | x | | | | | | |
| 18 | High School Equivalency Program | 20,000 | | | | | | | | | | x | | x | x | | | | | |
| 19 | College Assistance Migrant | 10,000 | | | | | | | | | | | | | x | | | | | |

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| Programs | | FY 2001 Requested | Objective | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | (In thousands) | 1.1 | 1.2 | 1.3 | 1.4 | 1.5 | 1.6 | 1.7 | 2.1 | 2.2 | 2.3 | 2.4 | 3.1 | 3.2 | 3.3 | 3.4 | 4.1 | 4.2 | 4.3 |
| Impact Aid | | | | | | | | | | | | | | | | | | | | |
| 20 | Basic Support Payments | 770,000 | | | x | | | | | | | | | | | | | | | |
| School Improvement Programs | | | | | | | | | | | | | | | | | | | | |
| 21 | Teaching To High Standards State Grants (Proposed Legislation) | 690,000 | x | | | | | | | | | | | | | | | | | |
| 22 | School Leadership Initiative (Proposed Legislation) | 40,000 | | | | x | | | | | | | | | | | | | | |
| 23 | National Activities For The Improvement Of Teaching And School Leadership (Proposed Legislation) | 25,000 | | | | x | | | | | | x | | | | | | | | |
| 24 | Eisenhower Regional Mathematics And Science Education Consortia (ESEA XIII-C) | 15,000 | x | | | x | | | | | | x | | | | | | | | |
| 25 | Teacher Quality: Hometown Teachers | 75,000 | | | | x | | | | | | | | | | | | | | |
| 26 | Teacher Quality: Higher Standards | 50,000 | | | | x | | | | | | | | | | | | | | |
| 27 | Teacher Quality: Teacher Quality Incentives | 50,000 | | | | x | | | | | | | | | | | | | | |
| 28 | Transition To Teaching: Troops To Teachers (Proposed Legislation) | 25,000 | | | | | | | | | | | | | | | | | | |
| 29 | Early Childhood Educator Professional Development (Proposed Legislation) | 30,000 | | | | | | | | x | x | | | | | | | | | |
| 30 | Safe and Drug Free: State Grants (ESEA IV-A, Subpart 1) | 439,250 | | | x | | | | | | | | | | | | | | | |
| 31 | Safe and Drug Free: National Programs (ESEA IV-A, Subpart 2) | 200,750 | | | x | | | | | | | | | | | | | | | |
| 32 | Safe and Drug Free: Project SERV (ESEA IV-A, Subpart 2) | 10,000 | | | x | | | | | | | | | | | | | | | |
| 33 | Inexpensive Book Distribution (ESEA X-E) | 20,000 | | | | | | | | | x | | | | | | | | | |
| 34 | Arts In Education (ESEA X-D-1) | 23,000 | x | | | | | | | | | | x | | | | | | | |
| 35 | Magnet Schools Assistance Program (ESEA V-A) | 110,000 | x | | | | | x | | | | | | x | | | | | | |
| 36 | Education For Homeless Children And Youth (SBMHAA Title VII-B) | 31,700 | | | | | | | | | | | x | | | | | | | |
| 37 | Women's Educational Equity (ESEA V-B) | 3,000 | x | | | | | | | | | | | | | | | | | |
| 38 | Training And Advisory Services (CRA IV) | 7,334 | x | | | | | x | | | | | x | | | | | | | |
| 39 | Education For Native Hawaiians (ESEA IX-B) | 23,000 | x | | | | | | | | | | x | | | | | | | |
| 40 | Alaska Native Education Equity (ESEA IX-C) | 13,000 | x | | | | | | | | | | x | | | | | | | |
| 41 | Charter Schools (ESEA X-C) | 175,000 | | | | | | x | | | | | | | | | | | | |

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| Programs | | FY 2001 Requested | Objective | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | (in thousands) | 1.1 | 1.2 | 1.3 | 1.4 | 1.5 | 1.6 | 1.7 | 2.1 | 2.2 | 2.3 | 2.4 | 3.1 | 3.2 | 3.3 | 3.4 | 4.1 | 4.2 | 4.3 |
| 42 | Opportunities To Improve Our Nation's Schools (OPTIONS) (Proposed Legislation) | 20,000 | | | | | | x | | | | | | | | | | | | |
| 43 | Advanced Placement Incentives (HEA VIII-B) | 20,000 | | | | | | | | | | | | x | | | | | | |
| 44 | Strengthening Technical Assistance Capacity Grants (Proposed Legislation) | 38,000 | | | | | | | | | | | x | | | | | | | |
| 45 | School Renovation | 1,300 | | | | | | | | | | | | | | | | | | |
| America Reads Challenge | | | | | | | | | | | | | | | | | | | | |
| 46 | Reading Excellence | 286,000 | | | | x | | | | x | x | | x | | | | | | | |
| Indian Education | | | | | | | | | | | | | | | | | | | | |
| 47 | Grants to LEAs | 115,500 | x | | | | | | | | | | x | | | | | | | |
| Bilingual and Immigrant Education | | | | | | | | | | | | | | | | | | | | |
| 48 | Bilingual Ed. Instructional Services | 296,000 | | | | | | | | | | | x | | | | | | | |
| 49 | Foreign Language Assistance | 14,000 | x | | | | | | | | | | | | | | | | | |
| 50 | Immigrant Education | 150,000 | | | | | | | | | | | x | | | | | | | |
| Special Education (IDEA) | | | | | | | | | | | | | | | | | | | | |
| 51 | Grants to States and Preschool Grants | 5,669,685 | x | x | x | x | x | x | x | x | x | x | x | x | | | | x | x | x |
| 52 | Grants for Infants and Families | 383,567 | | | | x | x | | | x | | | x | | | | | x | x | x |
| 53 | National Activities | 315,589 | | | | x | x | | x | x | x | x | x | | | | | x | | x |
| Rehabilitation Services and Disability Research | | | | | | | | | | | | | | | | | | | | |
| 54 | State Vocational Rehabilitation Services (RA I-A And Sections 110 And 111) | 2,375,792 | | | | | | | | | | | | | | | x | | | |
| 55 | American Indian Vocational Rehabilitation Services (RA I-C) | 23,998 | | | | | | | | | | | | | | | x | | | |
| 56 | Client Assistance Program (CAP) (RA Section 112) | 11,147 | | | | | | | | | | | x | | | | | | | |
| 57 | Training (RA Section 302) | 39,629 | | | | | | | | | | | | | x | | | x | | |
| 58 | Special Demonstration Programs (RA Section 303) | 21,672 | | | | | | | | | | | | | | | x | | | |
| 59 | Migrant And Seasonal Farmworkers Program (RA Section 304) | 2,850 | | | | | | | | | | | | | | | x | | | |
| 60 | Recreation Program (RA Section 305) | 2,596 | | | | | | | | | | | | | | | x | | | |
| 61 | Protection & Advocacy Of Individual Rights (PAIR) (RA Section 509) | 12,132 | | | | | | | | | | | x | | | | x | | | |
| 62 | Projects With Industry (PWI) (RA VI-A) | 22,071 | | | | | | | | | | | | | | | x | | | |
| 63 | Independent Living (RA VII) | 95,296 | | | | | | | | | | | | | | | x | | | |
| 64 | Program Improvement (RA Section 12 (A)) | 1,900 | | | | | | | | | | | | | | | x | | | |

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| Programs | | FY 2001 Requested | Objective | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | (In thousands) | 1.1 | 1.2 | 1.3 | 1.4 | 1.5 | 1.6 | 1.7 | 2.1 | 2.2 | 2.3 | 2.4 | 3.1 | 3.2 | 3.3 | 3.4 | 4.1 | 4.2 | 4.3 |
| 65 | Helen Keller National Center For Deaf-Blind Youths And Adults (HKNCA) | 8,717 | | | | | | | | | | | | | | | x | | | |
| 66 | National Institute On Disability And Rehabilitation Research (NIDRR) (RA II) | 100,000 | | | | | | | | | | | x | | | | | x | x | x |
| 67 | Assistive Technology Program (ATA) | 41,112 | | | | | | | | | | | x | x | | | x | | | |
| Special Institutions for Persons with Disabilities | | | | | | | | | | | | | | | | | | | | |
| 68 | American Printing House / Blind | 10,265 | | | | | | | | x | x | x | x | x | | | | | | |
| 69 | NTID | 51,786 | | | | x | | | | | | | | x | x | | x | | | |
| 70 | Gallaudet University | 87,650 | | | | x | | | | x | x | x | x | x | | | x | | | |
| Vocational and Adult Education | | | | | | | | | | | | | | | | | | | | |
| 71 | Vocational Ed. Basic State Grants | 855,650 | | x | | | | | | | | | | | | | | | | |
| 72 | Vocational Ed. Tech-Prep Education | 306,000 | | x | | | | | | | | | | | | | | | | |
| 73 | Voc. Ed. National Programs | 17,500 | | x | | | | | | | | | | | | | | | | |
| 74 | Tribally Controlled Postsec | 4,600 | | x | | | | | | | | | | | | | | | | |
| 75 | State Grants for Incarcerated Youths | 12,00 | | | | | | | | | | | x | | | | x | | | |
| 76 | Adult Education State Grants | 460,000 | | | | | | | | x | x | x | x | x | x | x | x | | | |
| 77 | Adult Education Leadership | 89,000 | | | | | | | | | | | | | | | x | | | |
| 78 | National Institute for Literacy | 6,500 | | | | | | | | | | | | | | | x | | | |
| Student Financial Assistance | | | | | | | | | | | | | | | | | | | | |
| 79 | Pell Grants | 8,356,000 | | | | | | | | | | | | | x | | | | | |
| 80 | Fed. Supp Ed. Opportunity Grants | 691,000 | | | | | | | | | | | | | | x | | | | |
| 81 | Federal Work Study | 1,011,000 | | | | | | | | | | | | | x | | | | | |
| 82 | Federal Perkins Loans | 160,000 | | | | | | | | | | | | | x | | | | | |
| 83 | Leveraging Educational Assistance Partnership | 40,000 | | | | | | | | | | | | | x | | | | | |
| 84 | Federal Family Education Loans | 2,808,302 | | | | | | | | | | | | | x | x | | | | |
| 85 | Federal Direct Student Loans | 770,000 | | | | | | | | | | | | | x | x | | | | |
| Higher Education | | | | | | | | | | | | | | | | | | | | |
| 86 | Title III Aid For Institutional Development | 357,000 | | | | | | | | | | | | x | x | | | | | |
| 87 | Title III Dual Degree | 40,000 | | | | | | | | | | | | | x | | | | | |
| 88 | International Education and Foreign Language | 73,000 | | | | x | | | | | | | | | x | | | | | |
| 89 | FIPSE | 31,200 | | | | | | | | | | | | | x | | | | | |
| 90 | Demonstration Projects | 5,000 | | | | | | | | | | | | | x | | | | | |
| 91 | Interest Subsidy Grants | 10,000 | | | | | | | | | | | | | x | | | | | |

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| Programs | | FY 2001 Requested | Objective | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | (in thousands) | 1.1 | 1.2 | 1.3 | 1.4 | 1.5 | 1.6 | 1.7 | 2.1 | 2.2 | 2.3 | 2.4 | 3.1 | 3.2 | 3.3 | 3.4 | 4.1 | 4.2 | 4.3 |
| 92 | Federal TRIO Programs | 725,000 | | | | | | | | | | | | x | x | | | | | |
| 93 | Gear UP | 325,000 | | | | | | | | | | | | x | | | | | | |
| 94 | Byrd Honors Scholarships | 41,001 | | | | | | | | | | | | x | x | x | x | | | |
| 95 | Javits | 10,000 | | | | | | | | | | | | | x | | | | | |
| 96 | National Need Graduate Fellowships | 31,000 | | | | | | | | | | | | | x | | | | | |
| 97 | Child Care Access | 15,000 | | | | | | | | | | | | | x | | | | | |
| 98 | Learning Anytime Anywhere | 30,000 | | | | | | | | | | | | | x | | | | | |
| 99 | Teacher Quality Enhancement (HEA II) | 98,000 | | | | | | | | | | | | | | | | | | |
| 100 | Underground Railroad Program (HE Amendments Of 1998, VIII-H) | 1,750 | | | | | | | | | | | | | | | | | | |
| 101 | GPRA Data/HEA Program Evaluation (Dept. Ed. Appropriations Act, 2000) | 3,000 | | | | | | | | | | | | x | x | x | x | | | |
| 102 | Howard University | 224,000 | | | | | | | | | | | | | x | | | | | |
| Research and Improvement | | | | | | | | | | | | | | | | | | | | |
| 103 | Research, Development And Dissemination (Proposed Legislation) | 198,567 | | | | | | | | | | | | | | | | x | x | x |
| 104 | Statistics | 84,000 | | | | | | | | | | | | | | | | x | | x |
| 105 | National Assessment | 42,500 | | | | | | | | | | x | | | | | | x | | x |
| 106 | FIE | 137,150 | x | x | x | x | x | | | | | | | | | | | | | |
| 107 | Javits Gifted and Talented | 7,500 | | | | | | | | | | | x | | | | | | | x |
| 108 | National Writing Project | 10,000 | x | | | x | x | | | | x | | | | | | | | | x |
| 109 | Civic Education | 9,850 | x | | | | | | | | | | | | | | | | | |
| 110 | International Education Exchange | 8,000 | x | | | | | | | | | | | | | | | | | |
| Department Management | | | | | | | | | | | | | | | | | | | | |
| 111 | Office for Civil Rights | 76,000 | x | x | x | x | x | x | x | x | x | x | x | x | x | x | x | | | |
| 112 | Office of the Inspector General | 36,500 | x | x | x | | x | x | x | | | | | | | | | | | |

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